



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
WASHINGTON, DC 20350-2000

IN REPLY REFER TO

OPNAVINST 5100.21B
N09F
07 September 1993

OPNAV INSTRUCTION 5100.21B

From: Chief of Naval Operations

Subj: AFLOAT MISHAP INVESTIGATION AND REPORTING

Ref: (a) SECNAVINST 5100.10G (Department of the Navy Policy for Safety, Mishap Prevention, and Occupational Health Programs) (NOTAL)
(b) OPNAVINST 5100.8G (Navy Safety and Occupational Safety and Health Program) (NOTAL)
(c) U.S. Navy Regulations, 1990
(d) OPNAVINST 3120.32B (Standard Organization and Regulations of the U.S. Navy)
(e) OPNAVINST 5100.19B (Navy Occupational Safety and Health (NAVOSH) Program Manual for Forces Afloat) (NOTAL)
(f) MSCINST 5100.17B, Afloat Safety and Occupational Health Manual (NOTAL)
(g) OPNAVINST 5102.1C (Mishap Investigation and Reporting) (NOTAL)
(h) OPNAVINST 5100.23C, Navy Occupational Safety and Health (NAVOSH) Program Manual (NOTAL)
(i) DoD Instruction 6055.7 (Mishap Investigation, Reporting, and Recordkeeping) dtd 10 Apr 89 (NOTAL)
(j) JAG Instruction 5800.7C (Manual of the Judge Advocate General)
(k) OPNAVINST 3100.6F (Special Incident Reporting (OPREP-3, Navy Blue and UNIT SITREP) Procedures)
(l) OPNAVINST 4790.2E (The Naval Aviation Maintenance Program) (NOTAL)
(m) OPNAVINST 3750.6Q (Naval Aviation Safety Program) (NOTAL)
(n) BUPERS Manual, Article 15560
(o) CINCLANTFLTINST/CINCPACFLTINST 4355.1B (Joint Fleet Quality Assurance (QA) Program) (NOTAL)
(p) CINCUSNAVEUR/CINCLANTFLT/CINCPACFLTINST 3100.7 (Special Incident Reporting (OPREP-3/UNIT SITREP)) (NOTAL)

Encl: (1) The Concept of Privilege
(2) Definitions
(3) Mishap Investigation Board Administration



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- (4) Mishap Investigation and Reporting Procedures
- (5) Mishap Investigation Reports (MIRs)
- (6) Mishap Reports (MRs)
- (7) Reportable Explosive Mishap or Conventional Ordnance Deficiency Reports (EMRs/CODRs)
- (8) Diving Mishap and Hyperbaric Treatment (DV) Reporting Procedures
- (9) Motor Vehicle (MV) Mishap Reporting Procedures
- (10) Off-Duty Recreation, Athletics, and Home Mishap Reporting Procedures
- (11) Afloat Safety Program Elements

1. Purpose. To amplify the afloat safety program according to references (a) through (e) and, to issue revised policy and procedures for mishap reporting by:

a. Deleting the standing mishap investigation board for Landing Craft, Air Cushioned (LCAC) mishaps.

b. Adding the reporting requirements for diving; motor vehicle; and off-duty recreation, athletics, and home safety mishaps.

c. Changing reports for Class B, C, and other, less severe explosive mishaps and conventional ordnance deficiency reports to general use reports.

d. Modifying and clarifying the required endorsers for mishap investigation report endorsements.

This instruction is a complete revision and should be read in its entirety.

2. Cancellation. OPNAVINST 5100.21A.

3. Objective

a. To assist in attaining the highest degree of operational readiness and mission accomplishment by eliminating or controlling hazards, thereby reducing injuries, deaths, and material damage.

b. To establish and maintain a fleet-wide atmosphere in which safety consciousness is foremost in every evolution; and, strive for constant improvement through positive leadership, complete participation, and supportive oversight.

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4. Scope

a. The afloat safety program applies to:

(1) Commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats

(2) Pre-commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats beginning when the ship gets underway for Acceptance Trials

(3) LCACs

(4) All USNS ships manned by federal civilian mariners assigned to Military Sealift Command (MSC)

(a) The manning complexities of MSC ships may require some tailoring of the administrative procedures in this instruction.

(b) The procedures for MSC ships shall, at a minimum, provide protection equal to, or better than, the ones in this instruction.

(c) Reference (f) contains guidance and administrative procedures for use by MSC ships and the assigned civil service mariners and military detachment personnel.

b. Shipboard mishap investigation and reporting procedures in this instruction apply to mishaps resulting in damage to the ships or craft listed in paragraph 4a at all times both underway and moored. (See paragraph 7d for exceptions.)

c. Shipboard mishap investigation and reporting procedures in this instruction apply to mishaps resulting in death or injury to all personnel aboard the ships or craft listed in paragraph 4a at all times when the ship is underway. (See paragraph 7d for exceptions.)

d. Shipboard mishap investigation and reporting procedures in the following instructions apply when mishaps occur aboard any moored ship or craft listed in paragraph 4a for:

(1) Ship's military and federal civilian mariners assigned as crew members (permanent or under temporary orders) aboard ship and on- or off-duty ashore will follow the investigation and reporting requirements of this instruction.

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(2) Military personnel assigned to a shore unit identification code (UIC) will follow the investigation and reporting requirements of references (g) and (h).

(3) Federal civilian employees (except federal civilian mariners assigned to Military Sealift Command ships) will follow the investigation and reporting requirements of references (g) and (h).

(4) Other civilians, dependents, or foreign personnel are not reportable under this instruction. Request guidance from Commander, Naval Safety Center (COMNAVSAFECEN) on mishap investigation and reporting requirements. Submit the request by message to (COMNAVSAFECEN NORFOLK VA//30/054//) or call DSN: 564-1562 or commercial: (804) 444-1562 during normal working hours; or DSN: 564-3520 or commercial: (804) 444-3520 after working hours.

e. Motor vehicle mishaps not covered by paragraphs 4a-4d above will be reported as required by enclosure (9).

f. Those diving and hyperbaric treatment mishaps not covered by paragraphs 4a-4d above (e.g., ship's divers diving from a shore command) will be reported according to enclosure (8). Diving mishaps resulting in a reportable injury to Navy divers making recreational dives or diving mishaps not involving Navy divers require the submission of a report according to the provisions of enclosure (10).

g. Off-duty recreation, athletics, and home mishaps will be reported as required by enclosure (10).

h. See enclosure (2) for further guidance as to what constitutes a "reportable afloat mishap" and a listing of mishaps not reportable under this instruction.

5. Policy. References (c) and (d) charge commanding officers and ships' masters with absolute responsibility for the safety, well-being, and efficiency of their commands. Nevertheless, each year needless shipboard mishaps result in deaths, injuries, the loss of thousands of hours of work, reduced combat readiness, and the waste of valuable assets. The adverse impact on professional pride, morale, physical well-being, and life itself is unacceptable. An effective safety program must involve all levels of the chain of command to consistently reduce the number of mishaps. The reduction will be accomplished by:

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- a. Promoting a fleet-wide environment in which the free and rapid exchange of information related to hazards is enhanced and encouraged.
- b. Maintaining a consistently high level of safety awareness through quality safety training and positive, aggressive, and proactive involvement at all levels in the chain of command.
- c. Providing total quality leadership support centered on dedicated safety officers at the fleet, type commander, group, squadron, and shipboard levels.
- d. Providing and maintaining a safe and healthy work environment.
- e. Ensuring the prompt identification, elimination, control and correction of hazards. When identification and elimination efforts fail, mishaps will be investigated and causes reported to prevent recurrence.
 - (1) Comprehensive, accurate mishap investigation requires the free and open disclosure of safety information. All surface ship, LCAC, and submarine mishaps investigated by a mishap investigation board will apply the concept of "privileged information."
 - (2) The entire chain of command will fully support the philosophy of, and tenaciously maintain a commitment to, the limited use of privileged information.

6. Concept of Privilege

- a. Reference (i) allows for limited use mishap investigation reports to restrict access to information on military systems and equipment. Some of the information obtained for this limited use report is held as, or considered privileged. The **concept of privilege** pervades the afloat safety program. Therefore, enclosure (1) explains the concept of privilege. Enclosure (1) discusses the uses and restrictions on privileged information in safety mishap investigations.
- b. When a mishap occurs, any tendency to spare an individual's, or the command's, reputation shall be set aside in favor of providing completely candid reports and opinions designed to identify the precise cause(s). As such, to encourage the free and open disclosure of safety information during an investigation, the concept of privileged information is used.

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c. Privileged information includes:

(1) Information provided under a promise of confidentiality.

(2) Information which would not have been discovered but for information provided under a promise of confidentiality.

(3) The deliberative analyses of findings, conclusions, and recommendations of the mishap investigation board.

(4) Calculations and deductions conducted by the mishap investigation board when disclosing that information would reveal the board's deliberative process.

(5) Forwarding endorsements to mishap investigation reports (MIRs) since they are part of the deliberative process.

d. Should the Department of the Navy (DON) use privileged information for any purpose other than safety, the Navy would lose credibility of future assurances of privilege. If that credibility is lost, vital safety information in future mishaps also could be lost.

7. Discussion

a. The goals of the afloat safety program are hazard elimination and control. The critical first step in achieving the goals is hazard identification. Hazard identification is accomplished through pervasive safety awareness and continuous observation and evaluation by every individual at all levels in the chain of command. Mishap prevention depends upon the subsequent elimination, control, and correction of hazards. Some hazards cannot be eliminated. In such cases, risks are reduced through engineering controls, administrative controls, and personal protective devices. Reference (e) establishes specific requirements on hazard awareness, identification, reporting, and correction. The requirements include:

(1) Encouraging all hands to report unsafe or unhealthful conditions, without fear of reprisal.

(2) Taking positive action on all reports of unsafe conditions.

(3) Correcting unsafe conditions based on the severity of the hazard according to reference (e).

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(4) Investigating and reporting mishaps and near mishaps; rapidly disseminating lessons learned to prevent recurrence.

b. When mishaps occur, accurate mishap investigation and reporting serves to prevent mishap recurrence. References (e) and (i) provide general safety mishap investigation and reporting procedures. For afloat mishaps, this instruction provides specific investigation and reporting procedures.

(1) Superiors in the chain of command will appoint a formal mishap investigation board to investigate all military, afloat Class A mishaps on surface ships (their embarked boats and landing craft or leased boats), LCACs, and submarines. The mishap investigation boards will submit findings and recommendations in a Mishap Investigation Report (MIR).

(2) Shipboard personnel will investigate other reportable and special case mishaps. The command will report the investigation results in a Mishap Report (MR), Diving Mishap Report (DV), Explosive Mishap Report (EMR), Conventional Ordnance Deficiency Report (CODR), Off-Duty Mishap Report (RAHS), or Motor Vehicle Mishap Report (MV).

(3) Enclosure (2) defines mishap severity classifications, reportable mishaps, and special case mishaps.

(4) Enclosures (3) through (9) provide afloat command safety mishap investigation and reporting procedures.

c. A complete and comprehensive mishap investigation is an essential tool in identifying the cause of a mishap and thereby preventing recurrence. Traditionally, the only source of mishap investigation information was a Judge Advocate General (JAG) investigation, also used to determine accountability and culpability. The JAG Manual, reference (j), governs the JAG Manual investigation. In a JAG Manual investigation, however, valuable safety information might be lost because of the reluctance of witnesses to divulge information for fear of retribution. The sole purpose of the safety mishap investigation, described in this instruction, is mishap prevention, not the determination of accountability. Therefore, reporting requirements for JAG Manual, or other investigations will be addressed by instructions governing those investigations, e.g., reference (j).

d. Safety precautions, procedures, and program guidance are included in most shipboard operation and maintenance

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publications. The afloat safety program derives specific safety guidance and standards from other directives.

(1) Reference (d) addresses criteria for establishing unit safety programs, including organizational structure, training, and planned maintenance.

(2) Reference (e) contains safety standards for surface ships and submarines and establishes occupational safety and health program requirements. Reference (e) is the primary safety reference for general shipboard activities and provides safety precautions for the Planned Maintenance System (PMS).

(3) References (g) and (h) contain mishap investigation and reporting procedures for Navy operational mishaps:

(a) Involving damage to shore facilities

(b) Occurring ashore involving:

1. On-duty Navy personnel attached to a command with a shore UIC.

2. Navy, other Department of Defense (DoD), and MSC civilian employees (except federal civilian mariners assigned to MSC ships).

(c) Occurring aboard a moored, commissioned, or pre-commissioned (beginning when the ship gets underway for Acceptance Trials) U.S. Navy ship or its embarked boats and landing craft or leased boats and LCACs involving military personnel assigned to a shore UIC.

(4) Reference (j), Chapter XII, includes reporting and damage assessment information for all mishaps occurring on navigable water and involving U.S. Navy ships, property, or personnel.

(5) Reference (k) is used to report all nuclear weapon and nuclear propulsion mishaps.

(6) References (l) and (m) are used to report all aviation mishaps. Occasionally an afloat mishap may also meet the criteria of an aviation ground mishap. If there is a question as to which instruction to use to report the mishap, request a determination from the type commander, aircraft controlling custodian, and COMNAVSAFECEN.

(7) Reference (n) is used to report all fatalities, injuries, and damage occurring during combat operations.

(8) Reference (o) establishes a Quality Assurance (QA) program intended to improve equipment reliability, safety of personnel, and configuration control; thereby, enhancing ship readiness.

(9) Enclosure (10) provides a safety program cross-reference of specific safety standards and program management information.

(10) Reference (p) establishes the Safe Engineering and Operations Program (SEAOPS) for LCACs.

(11) North Atlantic Treaty Organization (NATO) Standardization Agreement (STANAG) Number 1179 (NOTAL), Combined Investigation of Maritime Incidents, lays down procedures which may be followed if maritime incidents involve units or personnel of two or more NATO nations. Any command receiving a request for release of an afloat mishap investigation from a NATO country according to STANAG 1179 will forward the request immediately to Commander, Naval Safety Center, Attention: Code 03.

8. Responsibilities. References (b), (c), (d), and (e) contain some specific duties and responsibilities regarding safety for all levels in the chain of command. Additionally:

a. Chief of Naval Operations (CNO) (N00) is responsible for implementing and managing the afloat safety program and ensuring safety training is provided to all U.S. Navy afloat commanding officers, executive officers, department heads, primary and collateral duty ship's safety officers, and primary duty safety officers assigned to group and squadron staffs.

(1) Deputy Chief of Naval Operations (Logistics) (N4) is responsible for developing and coordinating Navy Occupational Safety and Health (NAVOSH) program policy and guidance and issuing NAVOSH standards applicable to operating forces. When NAVOSH policy or standards are applicable to the afloat safety program, coordinate with the Director, Surface Warfare Division (N86); Director, Submarine Warfare Division (N87); and Director, Air Warfare Division (N88). Additionally, serves as the central U.S. Navy office responsible for assuring accomplishment of the required ammunition, explosives, and chemical agents and systems mishap reporting and as the point of contact between the Department of Defense Explosives Safety Board and U.S. Navy activities.

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(2) Deputy Chief of Naval Operations (Resources, Warfare Requirements, and Assessments) (N8) is responsible for the overall safe operation of assigned ships, submarines, and aircraft; direction and supervision of the afloat safety program; and, mishap investigation and reporting training for afloat primary and collateral duty safety officers.

(a) Director, Surface Warfare Division (N86) is responsible for the safe operation of assigned surface ships and support craft, and shall direct and supervise the afloat safety program, including sponsoring the SEAOPS for LCACs; and ensuring training in mishap investigation and reporting is provided for primary and collateral duty safety officers.

(b) Director, Submarine Warfare Division (N87) is responsible for the safe operation of submarines, assigned surface ships, deep submergence systems, support craft, and diving operations; directing and supervising applicable portions of the afloat safety program; ensuring training in mishap investigation and reporting is provided for primary and collateral duty safety officers; and, coordinating changes to surface ship safety procedures with the Director, Surface Warfare Division (N86).

(c) Director, Air Warfare Division (N88) is responsible for the safe operation of assigned surface ships and support craft; directing and supervising applicable portions of the afloat safety program; ensuring training in mishap investigation and reporting is provided for primary and collateral duty safety officers; and, coordinating changes to surface ship safety procedures with the Director, Surface Warfare Division (N86).

(3) CNO Special Assistant for Safety Matters (N09F) advises and assists CNO in determining afloat safety program policies and goals.

b. Systems Commanders: Commander, Naval Sea Systems Command (COMNAVSEASYSKOM); Commander, Naval Air Systems Command (COMNAVAIRSYSKOM); Commander, Space and Naval Warfare Systems Command (COMSPAWARSYSKOM) and Commander, Naval Supply Systems Command (COMNAVSUPSYSKOM) will:

(1) Provide technical focus for comprehensive development, assessment, and implementation of surface ship and submarine safety programs.

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(2) Assist mishap investigation boards in the investigative process, when requested.

(3) Respond to the recommendations and corrective actions developed by the type commanders.

(4) Issue the proper documentation to correct hazardous conditions.

(5) Maintain membership in the SEAOPS for LCAC Review Committee (COMNAVSEASYSKOM only.)

(6) Review and analyze MIRs when included in the endorsement chain. Endorse the MIR, in turn, and provide a copy to all endorsers within 14 days of receipt of the previous endorsement.

c. Chief of Naval Education and Training (CNET) is responsible for ensuring subordinate commands provide effective safety training at all levels in the chain of command, and that safety awareness is a pervasive and integral element of every U.S. Navy training course.

d. COMNAVSAFECEN will:

(1) Support the Deputy CNOs (N4 and N8) and the systems commanders in implementing, maintaining, and improving the afloat safety program.

(2) Periodically review and revise this instruction, and provide recommended revisions to reference (e) regarding safety standards applicable to forces afloat to CNO (N4).

(3) Act as technical advisor for all afloat safety training.

(4) Report on the afloat safety program compliance to the Director, Surface Warfare Division (N86); Director, Submarine Warfare Division (N87); and Director, Air Warfare Division (N88) at least annually, based on the analysis of data collected during safety surveys.

(5) Provide an advisor to mishap investigation boards for all afloat Class A mishaps.

(6) Coordinate, with the type commander, recommendations for investigation of other than Class A, afloat mishaps which may warrant a mishap investigation board.

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(7) Provide an advisor, when agreed upon between the type commander and COMNAVSAFECEN, for other than Class A, afloat mishaps, if a trained investigator would benefit the investigation.

(8) Determine, when appropriate and if requested, the privileged or nonprivileged status of all mishap investigation board evidence.

(9) Take custody, from the Senior Member, of all relevant documentary evidence, board members' personal notes, original copies of all statements and logs, photographs and negatives, and tape recordings (whether referenced in the MIR or not).

(10) Make available, upon request, any documentary evidence, logs, photographs, negatives, tape recordings which are not privileged according to the terms of this instruction, either by transfer of originals (after making and retaining copies) or by inspection/copying to:

(a) MIR endorsers.

(b) Individuals conducting a concurrent investigation under proper regulatory authority of any agency or department of the Government of the United States or by attorneys representing the interests of the United States in any litigation related to the incident which is the subject of the mishap investigation.

(11) Make available, upon request, any evidence, board members' personal notes, statements, logs, photographs, negatives, or tape recordings which are privileged according to the terms of this instruction, either by transfer of originals (after making and retaining copies) or by inspection/copying, to MIR endorsers only.

(12) Conduct the final review and analysis of MIRs. Endorse the MIR, in turn, and provide a copy to all endorsers within 14 days of receipt of the previous endorsement. Retain, as custodian, MIRs and the endorsements for at least 5 years.

(13) Retain or dispose of all relevant evidence, board members' personal notes, original copies of all statements and logs, photographs and negatives, and tape recordings as directed in paragraph 8 of enclosure (4).

(14) Ensure prompt distribution of essential information, such as lessons learned, to cognizant commands.

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(15) Monitor the completion of corrective action resulting from an MIR.

(16) Maintain a centralized, historical safety-data repository. Provide research and analysis of collected data to support identification, elimination, and control of shipboard hazards through safety awareness and equipment and system design.

(17) Sanitize MIRs and endorsements, when requested, for use in safety training. Sanitization includes removing all identifiable data that could connect the report to an individual, organization, or particular mishap.

e. Fleet Commanders in Chief; Numbered Fleet Commanders; Commander, Naval Reserve Force (COMNAVRESFOR); and Commander MSC will:

(1) Ensure surface ships and submarines conduct an aggressive safety program.

(2) Ensure subordinates assign mishap prevention and safety responsibilities at all levels in the chain of command.

(3) Establish primary duty safety officer billets at subordinate commands, whenever possible, and ensure necessary training.

(4) Ensure subordinate commands develop, coordinate, and implement a program to monitor the correction of hazardous or potentially hazardous conditions.

(5) Ensure subordinate commands comply with current CNO safety and mishap prevention and injury reporting requirements.

(6) Serve as the appointing authority for mishaps involving more than one subordinate type commander and provide the Senior Member with the required endorsers. The minimum endorsers for a mishap involving more than one type commander include:

(a) The commanding officers of the ships involved in the mishap

(b) The immediate superiors in command (ISICs) of the ships involved in the mishap

(c) The type commanders

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(d) COMNAVSEASYS COM (PMS-377) (for all mishaps involving LCACs)

(e) Fleet Commander in Chief or Numbered Fleet Commander

(f) COMNAVSAFECEN

(7) Review and analyze MIRs when included in the endorsement chain. Endorse the MIR, in turn, and provide a copy to all endorers within 14 days of receipt of the previous endorsement.

f. Type Commanders. Submarine, Surface, Air, Naval Surface Reserve, Mine Warfare, and MSC type commanders will:

(1) Ensure subordinate afloat commands implement and maintain the afloat safety program and, through group and squadron commanders, foster a positive atmosphere which encourages and demands continuous attention to the essential obligation of hazard identification, mishap prevention, and proper reporting.

(2) Ensure priority is given to correcting documented hazards during availability planning.

(3) Ensure subordinate units conduct timely and complete afloat safety mishap investigations, as required by this instruction.

(4) Direct the investigation of any Class B or other mishaps or near mishaps which may reveal vital safety information if investigated by a mishap investigation board.

(5) Incorporate mishap prevention, investigation, and reporting training into the training requirements in COMNAVSURFLANT/COMNAVSURFPAC Surface Force Training Manual; COMSUBLANT/COMSUBPAC Training Manual; COMNAVAIRLANT and COMNAVAIRPAC Training Manual; COMNAVSURFRESFOR Master Training Plan; and MSC Training Guide.

(6) Serve as the appointing authority for mishaps involving more than one subordinate squadron or group commander and provide the Senior Member with the required endorers. The minimum endorers for a mishap involving more than one squadron or group commander include:

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(a) The commanding officers of the ships involved in the mishap

(b) The ISICs of the ships involved in the mishap

(c) The type commander

(d) COMNAVSEASYSKOM (PMS-377) (for all mishaps involving LCACs)

(e) COMNAVSAFECEN

(7) Send a message to the appointing authority of mishaps involving one subordinate squadron or group commander and provide the appointing authority with the required endorsers. The ISIC should not delay the investigation awaiting the message. The minimum endorsers for a mishap involving one squadron or group commander include:

(a) The commanding officer of the ship involved in the mishap

(b) The ISIC of the ship involved in the mishap

(c) The type commander

(d) COMNAVSEASYSKOM (PMS-377) (for all mishaps involving LCACs)

(e) COMNAVSAFECEN

(8) Coordinate with COMNAVSAFECEN, COMNAVSEASYSKOM, and other technical agencies in providing assistance to the mishap board, when requested.

(9) Monitor the timeliness and adequacy of the mishap investigation board's deliberations and final report and the timeliness and adequacy of each subsequent endorser.

(10) Assign responsibility for and monitor completion of corrective action on recommendations made by the mishap investigation board.

(11) Provide relevant safety information from the MIR to COMNAVSEASYSKOM, or other technical agency, when appropriate; unless otherwise restricted by this instruction.

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(12) Request any waivers or modifications to the investigation and reporting requirements of this instruction from CNO.

(13) Ensure appropriate group and squadron commanders are apprised of hazards identified during a mishap investigation.

(14) Collect and disseminate lessons learned and safety-related information. Include COMNAVSAFECEN NORFOLK VA//30/054// as an information addressee on any lessons learned issued.

(15) Maintain membership in the LCAC SEAOPS Review Committee. (Commander, Naval Surface Force, U.S. Atlantic Fleet (COMNAVSURFLANT) and Commander, Naval Surface Force, U.S. Pacific Fleet (COMNAVSURFPAC) only.)

(16) Endorse the MIR, in turn, and provide a copy to all endorsers within 14 days of receipt of the previous endorsement.

g. Group and Squadron Commanders will:

(1) Ensure subordinate afloat commands implement and maintain the afloat safety program according to the policy and philosophy contained in this instruction.

(2) Include elements of the afloat safety program in command inspections.

(3) Assist units in identifying hazards beyond their capability to correct in the availability work package and schedule them for accomplishment.

(4) Ensure subordinate commands incorporate mishap prevention, investigation, and reporting training, as directed by the type commander, into the group and squadron training requirements.

(5) Ensure commanding officers are apprised of hazards identified by a mishap investigation or from hazardous conditions.

(6) Endorse the MIR within 14 days of receipt, if the ship's ISIC. If a group commander, not the ISIC, desires to endorse the MIR, notify all other endorsers within 14 days of receiving the MIR.

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h. Group or Squadron Safety Officer will:

(1) Act as the principal advisor to the commander for the afloat safety program.

(2) Maintain appropriate safety records and mishap statistics discussed in reference (e). Make the information available to a mishap board upon request.

(3) Assist subordinate commands in conducting safety mishap investigations for all other reportable and special case mishaps, as defined in enclosure (2).

(4) Ensure dissemination of safety information and lessons learned resulting from mishap investigations.

(5) Schedule and coordinate mishap prevention and hazard awareness training with the group or squadron training officer.

(6) Assist subordinate commands in evaluating their safety programs for effectiveness and compliance with this instruction and references (e) and (o).

(7) Coordinate with the staff material officer to ensure hazards beyond ship's force capability to correct are properly identified in Current Ships Maintenance Projects (CSMPs).

(8) Assist in evaluating the safety program during command inspections of subordinate commands.

i. ISICs, including Commanding Officers of Assault Craft Units (ACUs) Two and Four will serve as the appointing authority for mishap investigation boards, unless otherwise directed. The minimum endorser for a mishap involving a single ship (its embarked boats and landing craft or leased boats) or LCAC include:

mishap (1) The commanding officer of the ship involved in the

(2) The ISIC of the ships involved in the mishap

(3) The type commander

LCACs) (4) COMNAVSEASYS COM (PMS-377) (for all mishaps involving

(5) COMNAVSAFECEN

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j. The appointing authority will:

(1) Appoint, in writing, the Senior Member of mishap investigation boards. (Enclosure (3) contains a sample mishap investigation board appointing letter.)

(a) The Senior Member will be an unrestricted line officer in the U.S. Navy or U.S. Marine Corps, or a senior official in MSC with suitable training and experience. If possible, the Senior Member will be senior to the commanding officer of the unit involved. If junior to the commanding officer of the unit involved, the Senior Member will be from another command.

(b) Anyone directly involved in a mishap will not serve as the Senior Member of the mishap investigation board for that mishap.

(c) Anyone having a personal interest in a mishap that might conflict with their objective and impartial performance of duties will not serve as the Senior Member of the mishap investigation board.

(d) Since the ISIC may take subsequent judicial or administrative action based on the JAG investigation, the commander should not be the Senior Member to avoid the possible perception of a conflict of interest or the unauthorized use of privileged information.

(2) Appoint, or delegate the appointment of, the remaining members of the mishap investigation board.

(a) Anyone directly involved in a mishap will not serve as a member of the mishap investigation board for that mishap.

(b) Anyone having a personal interest in a mishap that might conflict with their objective and impartial performance of duties will not serve as a member of the mishap investigation board.

(3) Ensure all mishap investigation board members are thoroughly familiar with their duties, specified in enclosure (3), and mishap investigation procedures, provided in enclosures (4) through (7), and other pertinent publications.

k. Commanding Officers, Masters, and Craftmasters will:

(1) Conduct an aggressive, positive, proactive afloat safety program according to the policy and philosophy contained in this instruction.

(2) Establish and maintain the hazard control and deficiency abatement program required by reference (e) to support shipboard mishap prevention efforts.

(3) Protect personnel from coercion, discrimination, or reprisals for participation in hazard reporting and mishap investigations.

(4) Incorporate mishap prevention, investigation, and reporting training, as required by the type commander, into the command's training program.

(5) Inform the Naval Safety Center of all Class A mishaps by including COMNAVSAFECEN NORFOLK VA//30/054//, and AIG ONE THREE EIGHT SIX ZERO for mishaps involving LCACs, as information addressees on any OPREP-3 or UNIT SITREP reports submitted according to references (k) and (p).

(6) Ensure personnel assigned to conduct informal mishap investigations, assigned as a member of a mishap investigation board, or assigned to assist the board are excluded from assignment to a JAG investigation conducted according to reference (j) of the same incident.

(7) Make a message report to the Naval Safety Center (COMNAVSAFECEN NORFOLK VA//30/02/054//) on any Class A mishap, if not previously informed by OPREP-3 or UNIT SITREP. Send the report, in the format of enclosure (6), within 24 hours.

(a) As a minimum, furnish the date and time of the mishap, the geographic location of the mishap, the reporting activity, the number of personnel involved, a description of the operation, and a brief explanation of the mishap in the initial report.

(b) As additional information becomes available, submit follow-up reports referencing the original and all subsequent reports.

(8) Inform the ISIC of any mishaps which may warrant investigation by a mishap investigation board.

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(9) If possible, protect the mishap site or damaged area from loss or further damage. Operational requirements or damage control measures may require disturbing the scene of the mishap before the mishap investigation board arrives. In such cases, make every reasonable effort to:

(a) Make an accurate plot of the scene.

(b) Take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area.

(c) Make a diagram of any underwater damage.

(10) Direct the collection of any transitory medical evidence, such as specimens to determine blood alcohol and drug levels, pertinent to the mishap investigation.

(11) Appoint members, except the Senior Member, if delegated by the appointing authority. Enclosure (3) contains a sample appointing letter.

(12) Provide administrative and logistic support for the mishap investigation board. Give the Senior Member authority to release messages specifically related to the mishap investigation and the MIR.

(13) Investigate all mishaps except those investigated by a mishap investigation board. Report applicable mishaps as provided for in enclosure (6).

(14) Investigate and report explosive mishaps and conventional ordnance deficiencies as outlined in enclosure (7).

(15) Investigate and report diving mishaps according to enclosure (8).

(16) Investigate and report motor vehicle mishaps according to enclosure (9).

(17) Investigate and report off-duty recreation, athletics, and home mishaps according to enclosure (10).

(18) Endorse the Mishap Investigation Report (MIR) and provide a copy to all endorsers within 7 days of receipt of the MIR.

1. Ship's Safety Officer and Assault Craft Unit (ACU) Safety Officers will:

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(1) Act as the principal advisor to the commanding officer for the afloat safety program.

(2) Maintain appropriate safety records and mishap statistics according to reference (e). Make the information available to a mishap investigation board, upon request.

(3) Assist the commanding officer in conducting mishap investigations for all mishaps except those investigated by a mishap investigation board. Ensure required mishap reports (MRs), diving mishap and hyperbaric treatment reports (DVs), motor vehicle mishap reports (MVs), off-duty recreation, athletics and home safety reports (RAHSS), explosive mishap reports (EMRs), and conventional ordnance deficiency reports (CODRs) are submitted as provided for in enclosures (6), (7), (8), (9), and (10).

(4) Ensure ship-wide dissemination of safety information and lessons learned resulting from mishap investigations.

(5) Schedule and coordinate mishap prevention and hazard awareness training with the training officer and the Planning Board for Training.

(6) Evaluate the ship's safety program for effectiveness and compliance with reference (e).

(7) Coordinate with the 3-M Coordinator to ensure hazards beyond ship's force capability to correct are properly identified in the Current Ships Maintenance Project (CSMP). The CSMP serves as the ship's Hazard Abatement Plan required by reference (e).

(8) In case of a mishap, assist the commanding officer in:

(a) Making an accurate plot of the scene.

(b) Taking photographs or videotape recordings of the wreckage, its distribution, and the surrounding area.

(c) Diagraming any underwater damage.

m. Department Heads, Division Officers, and Workcenter Supervisors will:

(1) Incorporate information on mishap prevention and investigations into General Military Training (GMT).

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(2) Emphasize the positive, proactive, all-hands approach to safety awareness and hazard identification as set forth in this instruction. Report hazards as required by reference (e).

(3) Notify the safety officer of all mishaps and near mishaps.

n. All Hands will:

(1) Know and comply with all safety precautions and standards.

(2) Report suspected unsafe or unhealthful work procedures or conditions to their immediate supervisor.

(3) Report to the supervisor any injuries, occupational illnesses, or property damage resulting from a mishap.

(4) Cooperate with all safety investigators in providing mishap information.

9. Training

a. The key to a successful safety program is quality training. CNET will provide safety training at all levels in the chain of command. The Navy Occupational Safety and Health (NAVOSH) and Hazardous Material Control & Management (HMC&M) Navy Training Plan (NTP S-40-8603B) (NOTAL) requires adding safety topics to all U.S. Navy courses, from recruit through commanding officer training. It also requires the periodic review and revision of safety courses to ensure current safety standards are reflected. Within 6 months of reporting for duty, primary and collateral duty safety officers:

(1) Assigned to surface ships (including aircraft carriers and submarine tenders) and selected readiness staffs will attend the Afloat Safety Officer Course (CIN: A-4J-0020).

(2) Assigned to submarines will attend the Submarine Safety Officer Course (CIN: F-4J-0020).

b. Reference (e) contains the requirements and mandatory frequency of safety training topics. Each type commander's training plan and other directives include additional, unique, safety training requirements.

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c. All shipboard personnel will receive indoctrination and annual refresher training on the afloat safety program. The training will include:

(1) An introduction to the afloat safety program, the identity of key safety personnel, and the safety chain of command.

(2) Detailed information on mishap prevention, investigation, and reporting with emphasis on privileged information.

(3) Safety precautions and safety standards.

(4) Hazard identification and reporting procedures.

d. The mishap investigation board advisor from NAVSAFECEN will receive detailed training in safety mishap investigation techniques and reporting requirements.

10. Action. Addressees are directed to implement the actions required by this instruction.

11. Reports and Forms

a. Enclosures (5), (6), (7), (8), (9), and (10) provide formats for some of the following reports. References (d) and (e) include other safety and mishap-related reports. Symbols OPNAV 5102-6, 5102-7, and 5102-8 are approved for 3 years from the date of this instruction.

(1) Mishap Investigation Report (MIR) Symbol OPNAV 5102-7 - enclosure (5).

(2) Mishap Investigation Report Endorsement (MIRE) Symbol OPNAV 5102-7A - enclosure (5).

(3) Mishap Report (MR) Symbol OPNAV 5102-6 - enclosure (6).

(4) Explosive Mishap Report, Symbol DD-FM&P(AR)1020 - enclosure (7), as required by reference (g).

(5) Diving Mishap/Hyperbaric Treatment/Death Report (DV), Symbol OPNAV 5102-5 - enclosure (8), as required by reference (g).

OPNAVINST 5100.21B
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(6) Motor Vehicle Mishap Report (MV), Symbol OPNAV 5102-4 - enclosure (9), as required by reference (g).


(7) Off-Duty Recreation, Athletics, and Home Safety Report (RAHS), Symbol OPNAV 5102-10 - enclosure (10), as required by reference (g).

b. The following forms are available through Navy supply channels per NAVSUP P-2002D:

(1) OPNAV 5102/4 (Rev. 8-78), SAFETYGRAM, S/N 0107-LF-008-8300.

(2) OPNAV 3120/5 (4-88), Safety Hazard Report, S/N 0107-LF-031-2050.

(3) DD 2544 (11-89), Diving Log, S/N 0102-LF-008-5800.



S.R. ARTHUR

VICE CHIEF OF NAVAL OPERATIONS

Distribution: (2 copies unless otherwise indicated)

SNDL 21A	(Fleet Commanders in Chief)
22A	(Fleet Commanders)
23	(Force Commanders)
24	(Type Commanders)
25A	(Mine Warfare Command)
26A	(Amphibious Group)
26B	(Naval Surface Reserve Force and Detachment)
26C	(Beach Group)
26D	(Seal Team and Seal Delivery Vehicle Team and Detachment)
26E	(Amphibious Unit)
26F	(Operational Test and Evaluation Force and Detachment)
26G	(FBM Operational Test Support Unit)
26H	(Fleet Training Group)
26J	(Afloat Training Group and Detachment)
26R	(Naval Inshore Undersea Warfare Group and Mobile Inshore Undersea Warfare Unit)
26S	(Mobile Technical Unit)
26U	(Surface Force Readiness Support Group)
26V	(Landing Force Training Command)

Distribution: (continued)

SNDL 26W (Cargo Handling and Port Group and Reserve Cargo Handling Training Battalion)
26Z (Shore Intermediate Maintenance Activity)
26CC (Fleet Coordinating Group)
26DD (Mobile Diving and Salvage Consolidated Divers Unit)
26GG (Explosive Ordnance Disposal Group and Unit)
26QQ (Special Warfare Group, Unit, and Detachment)
26RR (Fleet Imaging Command, Center, Facility and Detachment)
26SS (Mobile Mine Assembly Group and Unit)
26VV (Submarine Force Representative and Submarine Group Shipyard Representative)
26WW (Deep Submergence Unit)
26HHH (Fleet Tactical Deception/Readiness Group)
26KKK (Tactical Training Group)
26SSS (Medical Treatment Facility)
26VVV (Fleet Surgical Teams)
28 (Squadron, Division and Group Commander - Ships)
29 (Warships)
30 (Mine Warfare Ships)
31 (Amphibious Warfare Ships)
32 (Auxiliary Ships)
35 (Historical Warship)
36 (Service Craft)
41 (Military Sealift Commands)
42 (Naval Aviation) (less 42P, 42S, and 42SS)
45A (Fleet Marine Force Commands and Marine Expeditionary Force)
50 (Unified and Specified Commands)
51 (International Commands)

Copy to: (2 copies unless otherwise indicated)

SNDL A1G (Assistant Secretary of the Navy (Installation and Environment))
A2A (Department of the Navy Staff Offices) (CHINFO, JAG, and NAVCRIMINSERV, only)
A5 (Chief of Naval Personnel)
A6 (Headquarters U.S. Marine Corps)
B5 (U.S. Coast Guard) (5)
C28G (Branch Dental Clinic - Atlantic)
C28H (Branch Medical Clinic - Atlantic)
C34F (Branch Medical Clinic - Europe)
C34G (Branch Dental Clinic - Europe)
C52 (BUMED Shore Based Detachments)
C58Q (Branch Dental Clinic - CNET)
C58R (Branch Medical Clinic)

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Copy to: (continued)

SNDL E8A (Criminal Investigative Service)
 FA5 (Air Facility LANT)
 FA6 (Air Station LANT)
 FA7 (Station LANT)
 FA10 (Submarine Base LANT)
 FA13 (Submarine Support Facility Atlantic) (100)
 FA18 (Amphibious Base LANT)
 FA24 (Base LANT)
 FA47 (Hospital/Medical Center LANT)
 FA48 (Dental Center LANT)
 FA49 (Medical Clinic)
 FA50 (Trident Refit Facility LANT)
 FB6 (Air Facility PAC)
 FB7 (Air Station PAC)
 FB10 (Station PAC)
 FB13 (Submarine Base PAC)
 FB21 (Amphibious Base PAC)
 FB30 (Ship Repair Facility)
 FB34 (Fleet Activities)
 FB45 (Trident Refit Facility PAC)
 FB58 (Hospital/Medical Center PAC)
 FB59 (Dental Center PAC)
 FB60 (Medical Clinic)
 FC4 (Air Facility NAVEUR)
 FC7 (Station NAVEUR)
 FC14 (Air Station NAVEUR)
 FC16 (Medical Clinic EUR)
 FC17 (Hospital EUR)
 FC18 (Dental Center EUR)
 FF5 (Safety Center) (100)
 FF8 (Inspection and Survey Board)
 FF38 (Naval Academy)
 FF42 (SCOL Postgraduate)
 FF44 (Naval War College)
 FF73 (Naval Academy Preparatory School)
 FH1 (Chief Bureau of Medicine and Surgery)
 FH13 (SCOL Hospital Corps)
 FH14 (Health Sciences Education and Training)
 FH15 (Environmental and Preventive Medicine Unit)
 FH18 (Aerospace and Operational Medical Institute)
 FH26 (Environmental Health Center)
 FKA1 (Systems Commands)
 FKP7 (Shipyard)
 FKP8 (Supervisor of Shipbuilding, Conversion, and Repair)
 FO1 (Legal Service Command)
 FO2 (Legal Service Office)

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Copy to: (continued)

SNDL FO4 (SCOL Justice)
 FR9 (Reserve Readiness Command Region)
 FR10 (Reserve Center)
 FR23 (Naval and Marine Corps Reserve Readiness Centers)
 FT (Shore activities under the command of CNET as
 delegated by the CNO) (less FT24, FTC Norfolk and
 San Diego; and, FT95, SUBTRAFAC Norfolk and San
 Diego)
 FT24 (Fleet Training Center) (Norfolk and San Diego)
 (100)
 FT95 (Submarine Training Facility) (Norfolk and San
 Diego only) (100)
 FW1 (National Naval Medical Center)

CNO (N1 (5), N4 (5), N86 (5), N87 (5), N88 (5), N09B2, N095 (5),
 and N45 (10))

SECNAV/OPNAV Directives Control Office
 Washington Navy Yard
 Building 200, 1st Floor
 Washington, DC 20374-5074 (25)

Stocked:
 Naval Aviation Supply Office
 ASO Code 103
 5801 Tabor Avenue
 Philadelphia, PA 19120-5094 (200 copies)

THE CONCEPT OF PRIVILEGE

Privileged information. That information voluntarily provided under a **promise of confidentiality**, or information which would not have been discovered but for information voluntarily provided under a **promise of confidentiality**.

Privileged Material. The deliberative analyses of findings, conclusions, and recommendations of the mishap investigation board in the MIR are privileged. Also privileged are calculations and deductions conducted by the mishap investigation board that would reveal the board's deliberative process. Forwarding endorsements are also part of the deliberative process and are similarly privileged against disclosure.

Authority. The concept of privilege applies to mishaps investigated by a mishap investigation board as defined in enclosures (3) through (5). Reference (i) requires Limited Use Safety Mishap Investigation Reports for flight mishaps and mishaps involving complex weapons systems, equipment, or military-unique items (such as ships and shipboard systems) when the determination of cause factors is vital to the national defense. The **SOLE PURPOSE** of these closely held, internal, Department of Defense (DoD) communications is to prevent subsequent DoD mishaps. Any individual providing information to mishap investigators under a promise of confidentiality will be advised that DoD will use its best efforts to ensure that the information is not released to any other agency or individual.

1. Privileged Information. Privileged information shall not be used:
 - a. In making any determination affecting the interest of an individual making a statement under assurances of confidentiality or involved in a mishap.
 - b. As evidence, or to obtain evidence, in determining misconduct or line-of-duty status.
 - c. As evidence, or to obtain evidence, to determine the responsibility of personnel from the standpoint of discipline.
 - d. As evidence, or to obtain evidence, to assert affirmative claims on behalf of the government.
 - e. As evidence, or to obtain evidence, to determine the liability of the government for property damage caused by a mishap.

Enclosure (1)

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f. As evidence, or to obtain evidence, before administrative bodies, such as officer evaluation boards (USN) or Field Performance Boards (USMC).

g. As evidence, or to obtain evidence, in any other administrative or judicial proceeding(s) to determine misconduct or line of duty status, or governmental liability.

2. The Purpose of Designating Information as Privileged. The actions limiting the use of privileged information are taken to:

a. Overcome any reluctance of an individual to reveal complete and candid information about the events surrounding a mishap.

b. Encourage mishap investigation boards and the endorsers of MIRs to provide complete, open, and forthright information, opinions, and recommendations about a mishap.

3. Rationale. If privileged information were allowed to be used for purposes other than safety, witnesses might withhold vital safety information.

a. Individuals may be reluctant to reveal information pertinent to a mishap because they believe certain uses of the information could be embarrassing or detrimental to themselves, their fellow service members, their command, their employer, or others. They also may elect to withhold information by exercising their constitutional right to avoid self-incrimination. Individual members of the armed forces must be assured that they may confide in others for the mutual benefit of fellow service members without incurring personal jeopardy in the process. Witnesses shall not provide statements to mishap investigation boards under oath and requiring them to do so is prohibited. Mishap investigators must advise witnesses, in writing, of the purpose for which they are providing a statement and of the limited use to be made of the statement. The witnesses' statements shall not be limited to matters they could testify about in court. They may be invited to express opinions and speculate on possible causes of the mishap.

b. If mishap investigation boards and the endorsers of MIRs believe their deliberations, opinions, and recommendations could be used for other than safety purposes, they might be reluctant to develop or include in their reports, and the mishap investigation report endorsements (MIREs), vital safety information.

4. Protection of Privileged Information. To foster the submission of privileged information in afloat MIRs and MIREs, we must keep the confidence of witnesses with assurances of confidentiality. Should the DON use privileged information for any purpose other than safety, the Navy would lose credibility of future assurances of privilege. To protect privileged information against unauthorized disclosure, the Navy must safeguard the

entire reporting cycle: assurances of confidentiality given; privileged information obtained, developed, and reported; privileged information protected against misuse or public disclosure; credibility of assurances maintained; and assurances of confidentiality given again. If any segment of the cycle fails, we may lose vital safety information. Obtaining safety information is therefore dependent upon the protection of privileged information against use for other than safety purposes. Accordingly, the following safeguards protect privileged information:

a. Witness Statements. Witness statements to a mishap investigation board shall not be provided to any activity except as authorized in this instruction.

b. Photographs. Photographs staged by the mishap investigation board (planned or posed to illustrate a specific condition or situation) are privileged because of the deliberative process. All captions or markings placed on photographs suggesting the mishap board's deliberative process are also privileged. Photographs of human injuries/remains that are not staged are not privileged, but may be exempt from disclosure under exemption b(6) of the Freedom of Information Act.

c. Investigations. Mishap investigators must thoroughly understand the distinction between afloat mishap investigations and other investigations. Only in cases of a joint, Department of Defense (DoD) safety investigation (for example, a U.S. Army and U.S. Navy mishap), authorized by Commander, Naval Safety Center (COMNAVSAFECEN) or higher authority, shall any exchange of information and opinion outside the U.S. Navy mishap investigation board occur. In such cases, cooperation between safety investigators may include division of labor, joint review of evidence, exchange of witness statements, and joint deliberations.

d. Multiple/Concurrent Investigations. In all cases, afloat mishap investigations shall be independent and separate from JAGMAN and all other investigations. Safety investigators may only exchange the identity of witnesses and share nonprivileged evidence with JAGMAN and other investigators.

e. Outside Assistance. Afloat mishap investigations may require the assistance of other activities. Requests for such assistance are not privileged, and the Senior Member must meticulously review them to ensure they do not contain privileged information. Technical specialists providing assistance to mishap investigation boards are not members of the board and (except as authorized elsewhere in this instruction) shall not be given access to deliberations by the board or to the contents of Part Bravo or the endorsements on MIRs.

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f. Investigators. Members of mishap investigation boards shall not, nor may they be requested to, divulge their opinions or any information they developed, or learned, as a member of the board. Members of mishap investigation boards shall not be assigned to any other investigation of the same mishap such as a Judge Advocate General (JAG) Manual investigation, an officer evaluation board (USN), or a Field Performance Board (USMC).

g. Independence of Mishap Investigation Reports (MIRs)

(1) MIRs consist of two parts. Part Alpha includes the nonprivileged data and Part Bravo, the privileged data. (See paragraph 4h for further discussion of Parts Alpha and Bravo.) Part Bravo of an MIR, and extracts from Part Bravo, shall neither be appended to, nor included in, reports of JAG Manual investigations or any other report. The Office of the Navy Judge Advocate General shall not be an addressee on MIRs.

(2) To prevent any inference of association with disciplinary action, reports of JAG Manual investigations, officer evaluation boards (USN), or Field Performance Boards (USMC) shall not be appended to, nor made a part of, any MIR or endorsement.

h. Administrative Safeguards

(1) MIRs consist of two parts: Part Alpha and Part Bravo. Since material in Part Alpha is not privileged information, COMNAVSAFECEN may disclose the information to the public consistent with exemption b(6) of the Freedom of Information Act. Since the material in Part Bravo is privileged information, COMNAVSAFECEN will not release it to the general public. COMNAVSAFECEN is the only releasing authority for material in either Part Alpha or Part Bravo. Nonprivileged material may be obtained from the report of the JAGMAN investigation.

(2) Only military electronic communications facilities shall transmit MIRs and endorsements.

(3) Distribution of Part Bravo of MIRs by themselves, or together with their endorsements, outside the commands specified in this instruction, or authorized by CNO, is strictly prohibited.

(4) Use Standard Subject Identification Code (SSIC) 05102 on all MIRs and endorsements to aid the receiving commands in limiting internal distribution to people requiring MIRs for safety purposes. Internal command distribution of MIRs shall be strictly limited to people requiring knowledge of the report for safety purposes.

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(5) Privileged reports and endorsements required by this instruction shall include the following narrative at the beginning of the MIR or endorsement:

"NARR/FOR OFFICIAL USE ONLY. DISTRIBUTE ONLY TO THE COMMANDER OR OFFICE CODE(S) FOLLOWING EACH ADDRESSEE. THIS IS A PRIVILEGED, LIMITED USE, CONTROLLED DISTRIBUTION SAFETY MISHAP INVESTIGATION REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. SEE OPNAVINST 5100.21B FOR RESTRICTIONS."

(6) Non-naval activities shall not readdress MIRs or MIREs. Only CNO, Commandant of the Marine Corps (CMC), or COMNAVSAFECEN can readdress MIRs and MIR endorsements. However, endorsers of an MIR can readdress the MIR if required for further endorsement or corrective action.

i. Special Handling. The term "special handling" means that the circulation of MIRs is restricted to ensure their use is limited to the furtherance of safety. Recipients must apply common sense to determine what handling actions are appropriate. For example:

(1) Uncontrolled disclosure of MIRs to those not requiring knowledge of their content for safety (such as placement in reading racks, message boards, or on bulletin boards) is not appropriate.

(2) Controlled passage of MIRs from individual to individual, or from office to office in file folders, to make sure only specific individuals requiring knowledge of their content for safety purposes see the MIR is appropriate.

j. For Official Use Only. All reports required by this instruction are designated "For Official Use Only (FOUO)." SECNAVINST 5720.42E (NOTAL) contains guidelines regarding handling, release, safeguarding, and disposing of material designated "For Official Use Only (FOUO)."

5. Dissemination of Essential Safety Information. When appropriate, COMNAVSAFECEN and the type commanders may extract safety information and issue lessons learned based on MIRs submitted according to this instruction. The distribution of the lessons learned depends on the subject. The privileged status of an MIR or endorsement shall not restrict the dissemination of essential safety information by COMNAVSAFECEN or the type commanders. When an MIR contains essential safety information based on privileged or personal information, and the information has not been adequately distributed to those in need of the information, COMNAVSAFECEN or the type commanders shall take one of the following actions (listed in order of preference):

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a. Extract. Extract only the essential safety information from the report and disseminate it appropriately. (COMNAVSAFECEN or type commanders)

b. Expunge. Scrub or sanitize all identifying information from the report that could link the report with an individual, organization, or mishap, and disseminate the essential safety information remaining in the report. (COMNAVSAFECEN only)

c. Readdress. Readdress the entire MIR. (COMNAVSAFECEN only)

6. Release of Program Information. The release of afloat safety program information in MIRs shall be as specified in this paragraph, and paragraph 7 of enclosure (6) for MRs, unless otherwise authorized by CNO.

a. Release Based on the Freedom of Information Act (FOIA). Either expressed or implied requests for information made under the FOIA shall be sent to COMNAVSAFECEN, Attention: Code 03.

b. Release Based on the Privacy Act of 1974. Information in MIRs shall not be maintained in a system of records subject to the Privacy Act. Specifically, the information must not be retrievable by the name of an individual, or by social security number, or other identifying number, symbol, or unique identifier associated with an individual. Forward Privacy Act requests for information pertaining to an individual to COMNAVSAFECEN, Attention: Code 03.

c. Release by an Individual Having Knowledge of Mishap Investigation Reports (MIRs). An individual having knowledge of the contents of an MIR is prohibited from disclosing the information, except as authorized by this instruction. If anyone asks for information from any individual having knowledge of the contents of an MIR, should immediately contact COMNAVSAFECEN, Attention: Code 03.

d. Release to U.S. Navy, U.S. Marine Corps, and Other Department of the Navy Activities. Forward requests for mishap information from Navy, Marine Corps, and other DON activities to COMNAVSAFECEN, Attention: Code 03.

e. Release to Other U.S. Military Services. Exchange of safety program information among the military services shall be limited to the respective safety centers, and shall be controlled to prevent disclosure of privileged information.

f. Release to the News Media. DON Public Affairs Regulations, SECNAVINST 5720.44A (NOTAL) contains information on releasing mishap information to the media. The Navy shall, however, preserve the privileged information in MIRs which is not releasable to the media.

g. Release to Congress. Forward requests for information from Congress, Congressional committees or subcommittees, or staff members to CNO or CMC, as appropriate.

h. Release to Relatives of Persons Involved in Afloat Mishaps. In discussing the mishap with relatives of people involved in a mishap, make no inference to the cause. Do not divulge classified or privileged information. Do not show, discuss with, or give copies of an MIR to the next of kin, or their agents or representatives.

i. Subpoenas for Information. Refer any subpoenas for mishap information for use in civil or criminal proceedings, anticipated litigation, or in administrative claims against the government, to the Judge Advocate General, Department of the Navy.

j. Release to Technical Representatives, Defense Contract Administration Services (DCAS) Representatives, and Contractors. Forward requests for mishap information from technical representatives, manufacturers, DCAS representatives, and contractors or their agents to COMNAVSAFECEN via COMNAVSEASYSKOM (SEA-00D). The endorsement of COMNAVSEASYSKOM (SEA-00D) shall certify whether the requested information is required for safety purposes with respect to product design or improvement. Any response shall include a warning to ensure the recipient uses the information for safety purposes only. The recipient shall not disclose the information to any other individual or entity.

k. Release to North Atlantic Treaty Organization (NATO) Nations. If a maritime incident involves units or personnel of two or more NATO nations, the provisions of NATO Standardization Agreement (STANAG) 1179 (NOTAL), Combined Investigation of Maritime Incidents, become effective. Under the provisions of STANAG 1179, NATO nations agree to conduct either a combined court of inquiry, a national inquiry attended by witnesses and/or observers from other nations, or an independent national inquiry coordinated by the presidents of the inquiries. Any command receiving a request for information from an afloat mishap investigation from a NATO country shall forward the request immediately to COMNAVSAFECEN, Attention: Code 03.

l. Release to Other Foreign Nations. Forward requests for information on mishaps from foreign governments to COMNAVSAFECEN, Attention: Code 03.

m. Unspecified Cases. Forward requests not stipulated above to COMNAVSAFECEN, Attention: Code 03.

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DEFINITIONS

The following definitions pertain to mishap investigation and reporting:

1. Reportable Afloat Mishaps

a. Class A Mishap. The total cost of reportable damage is \$1,000,000 or more; or any injury or work-related illness resulting in death or permanent total disability. All Class A mishaps occurring on a ship specified in paragraph 4 of the basic instruction require investigation by a mishap investigation board and submission of a Mishap Investigation Report (MIR) according to this instruction. Class A mishaps occurring ashore or as a result of motor vehicle mishaps shall be reported by Mishap Report (MR) or Motor Vehicle Mishap Report (MV) and do not require a mishap investigation board.

b. Class B Mishap. The total cost of reportable property damage is \$200,000 or more, but less than \$1,000,000; an injury or work-related illness resulting in permanent partial disability; or a mishap resulting in the hospitalization of five or more people.

(1) Commander, Naval Safety Center (COMNAVSAFECEN) shall coordinate with the type commander in deciding if a shipboard Class B or other mishap or near mishap requires investigation by a mishap investigation board and notify the appointing authority.

(2) Class B mishaps not investigated by a mishap investigation board shall be investigated and reported using an MR, DV, MV, or RAHS.

c. Class C Mishap. The total cost of reportable property damage is \$10,000 or more, but less than \$200,000; or an injury preventing an individual from performing regularly scheduled duty or work beyond the day or shift on which it occurred; or a nonfatal illness or disability causing loss of time from work or disability at any time (lost time case). For data collection and analysis purposes, Class C mishaps shall be reported to the COMNAVSAFECEN by MR, DV, MV, or RAHS if:

(1) The total cost of reportable property damage is \$10,000 or more, but less than \$200,000.

(2) There is an injury preventing an individual from performing regularly scheduled duty or work 5 days beyond the day or shift on which it occurred.

Enclosure (2)

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d. Special Case Mishaps. For data collection and analysis purposes, the following special case mishaps are reportable to the Naval Safety Center in an MR:

NOTE: This revision reduces the number of categories of special case mishaps. Commanding officers are encouraged to submit a mishap report for any mishap with lessons learned. If other ships could benefit from reading about your minor mishap or near miss, or if you want to highlight a design or material defect which caused a mishap, please send an MR.

(1) All cases of electric shock. (Include the voltage in the report.)

(2) All cases of hazardous material, chemical, or toxic exposure requiring medical attention.

(3) All cases of back injury requiring medical attention.

(4) All mishaps involving explosives, oxidizers, incendiaries, explosive systems, or chemical warfare agents. They include the detonation, accidental launch, malfunction, dangerous defect, improper handling, damage to a launching device, weapon impact off-range or other unusual or unexpected weapons-related occurrence. They shall be reported using the information provided in enclosure (7). If the explosive mishap meets the criteria for an afloat Class A mishap, a mishap investigation board conducts a formal mishap investigation, enclosure (4), and submits an MIR, enclosure (5).

e. Explosive Mishaps. Any incident or accident involving conventional ordnance, ammunition, explosives, or explosive systems and devices resulting in an unintentional detonation, firing, deflagration, burning, launching of ordnance material (including all ordnance impacting off-range), leaking or spilled propellant fuels and oxidizers, or chemical agent release. Even if an ordnance system works as designed, if human error contributed to an incident or accident resulting in damage, injury, or death, report the event as an explosive mishap.

f. Diving Mishaps. Injury, recompression therapy, or death resulting from an incident occurring while breathing compressed gases (for example, air, HeO₂, or oxygen) before, during, or after entering or leaving the water.

g. Motor Vehicle Mishaps

(1) Government Motor Vehicle (GMV) - At least \$2,000 property damage or a fatality or lost time reportable Class A, B, or C severity injury

(2) Private Motor Vehicle (PMV) - At least \$2,000 government property damage or a fatality or lost time reportable Class A, B, or C severity injury to on- and off-duty assigned military and on-duty Navy civilian personnel

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2. Other Mishaps. The following mishaps are not reportable under this instruction:

a. Mishaps involving nuclear weapons, nuclear propulsion plants, or radioactive materials involved in these systems.

b. Damage or injury by direct action of an enemy or hostile force.

c. Malfunction or failure of parts due to normal wear and tear and the malfunction or failure is the only damage. The only necessary corrective action is to replace or repair the broken or failed part.

d. Injuries associated with nonoccupational diseases or chronic medical conditions, when the disease itself, not the injury, is the cause of the lost time. For example, a minor laceration suffered by a hemophiliac resulting in time away from work is not reportable. However, complications of an injury (such as the infection of a cut aggravated by a work-related activity) resulting in lost-work-time are reportable.

e. Suicide, attempted suicide, homicide, or intentionally self-inflicted injuries.

f. Injuries resulting from altercations, attack, or assault, unless they are incurred in the performance of official duties when an attack or assault would not be a felony. For example, a nurse assaulted by a patient in a mental institution is reportable.

g. Injuries sustained before entry into the military service, or civilian employment, unless specifically aggravated by current tenure of service.

h. Hospitalization for treatment where the patient is retained beyond the day of admission solely for administrative reasons.

i. Hospitalization for observation or administrative reasons not related to the immediate injury or occupational illness.

j. Injuries resulting from:

(1) Pre-existing musculoskeletal disorders.

(2) Minimum stress and strain (simple, natural, nonviolent body positions or actions as in dressing, sleeping, coughing, or sneezing). These are injuries, unrelated to accident-producing agents or environments, normally associated with active participation in daily work or recreation.

k. Injuries or fatalities to anyone eluding or escaping from military or civilian custody or arrest.

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1. Death due to natural causes unrelated to the work environment.

m. Intentional or expected damage to Department of Defense (DoD) equipment or property during authorized testing or combat training, including missile and ordnance firing.

n. Foreign object damage (FOD) to gas turbine engines discovered during scheduled engine disassembly or bore-scope inspection.

o. Injury or property damage resulting from vandalism, riots, civil disorders, sabotage, terrorist activities, or felonious acts, such as arson.

3. Afloat Mishap. Any mishap caused by DoD operations resulting in injury or death to anyone aboard the ships or craft listed below whenever the ship is underway; ship's military and federal civilian mariners assigned as a crew member (permanent or under temporary orders) aboard the ships listed below, on- or off-duty ashore; or material loss or damage, occurring to the ships or craft listed below at all times, both underway and moored:

a. Commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats

b. Pre-commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats beginning when the ship gets underway for Acceptance Trials

c. Landing Craft, Air Cushioned (LCAC)

d. All USNS ships manned by federal civilian mariners assigned to Military Sealift Command

4. Aviation Bends (Altitude Decompression Sickness). Aviators exposed to altitude may experience symptoms of decompression sickness similar to those experienced by divers.

5. Causes. Conditions or events explaining why a mishap occurred.

6. Contractor Caused Mishaps. The parent command of DoD personnel shall report injuries or work-related illnesses (required by this instruction) caused by contractor operations. Refer mishaps involving civilian contractor personnel caused by contractor operations to COMNAVSAFECEN for guidance.

7. Conventional Ordnance Deficiency. A malfunction, observed defect, or induced defect involving conventional ordnance, explosives, ammunition, explosives systems or devices, support and handling equipment used to handle, load, store, or transport ordnance.

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8. DoD Personnel

a. On-duty, DoD civil service employees (including National Guard and Reserve technicians, unless in military duty status); non-appropriated fund employees (excluding part-time military); Corps of Engineers civil works employees; Youth or Student Assistance Program employees; foreign nationals employed by DoD components; and Army-Air Force Exchange Service employees are DoD personnel.

b. All U.S. military personnel on active duty; U.S. Military Reserve or National Guard personnel on active duty or in a drill status; Service Academy cadets or midshipmen; Reserve Officer Training Corps (ROTC) cadets or midshipmen when engaged in directed training activities; Officer Candidate School students when engaged in directed training activities; and foreign national military personnel assigned to DoD components are DoD personnel.

9. Diving Mishap. Injury, recompression therapy, or death resulting from an incident occurring while breathing compressed gases (for example, air, HeO₂, or oxygen) before, during, or after entering or leaving the water.

10. Electric shock. The passage of direct or alternating electrical current through the body or body part.

11. Explosion. The unintentional or inadvertent initiation, detonation, deflagration, reaction, or burning of ordnance material resulting in damage, death, or injury.

12. Explosive Material. A chemical, or a mixture of chemicals, which undergoes a rapid chemical change (with or without an outside supply of oxygen) liberating large quantities of energy in the form of blast, light, or hot gases. Incendiary materials and certain fuels and oxidizers which be made to undergo a similar chemical change are also explosive materials. Examples of explosive materials include:

a. Explosives. TNT, compositions, Explosive D, tetryl, fulminate of mercury, black powder, smokeless powder, flashless powder, and rocket and missile propellants.

b. Fuels and Oxidizers. OTTO fuel, mixed amine fuel, inhibited red fuming nitric acid, and ethylene oxide.

c. Incendiaries. Napalm, magnesium, thermite, and pyrotechnics.

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13. General Use Safety Mishap Investigation Reports. Safety reports prepared to record data concerning all reportable DoD mishaps not covered by Limited Use Safety Mishap Investigation Reports. Their primary use is for mishap prevention. Although they may be used for other purposes, DoD components shall take reasonable measures to protect the information and to encourage the cooperation of essential witnesses.

14. Hazard. A condition which might result in injury, illness, disease, or death to anyone exposed to the condition, or which might result in damage to, or loss of material, equipment, or systems. Mishap investigators use the term to explain causes of mishaps. Hazards are detected through inspections, surveys, observations of near-mishaps, safety program evaluations, or from reports by others.

15. Hospitalization. Formally admitted to the hospital or sick bay for treatment of an injury or exposure.

16. Hyperbaric. High gaseous pressure found in a diving environment. Pressure greater than that normally measured at sea level.

17. Hypobaric. Low gaseous pressure found at altitude as in flight or a chamber flight simulator (hypobaric chamber). Pressure less than that normally measured at sea level.

18. LCAC Mishap Categories. Mishaps involving LCACs fall into one of the following categories:

a. Operational Mishap (OM) - Mishaps in which the intent for operation of the craft existed at the time of occurrence. Intent for operation exists when an LCAC engine is started to commence authorized operations. An engine is started the instant an attempt is made to set it in motion from within or outside the craft. The intent for operation continues until the LCAC comes to rest at the intended landing site with the engines and propellers stopped.

b. Nonoperational Mishap (NOM) - Mishaps in which there was no intent for operation of the craft at the time of occurrence.

19. Limited Use Safety Mishap Investigation Reports. As defined in reference (i), are safety reports used only by DoD activities. Their sole use is for mishap prevention within DoD. Individuals providing information to mishap investigators for a Limited Use Safety Mishap Investigation, do so with a promise of restricted access to and use of the privileged information they provide. See enclosure (1) for detailed information on the concept of privilege.

a. For afloat mishaps, only a mishap investigation board may write a Limited Use Safety Mishap Investigation Report.

b. Limited Use reports shall not be used as evidence for disciplinary action; misconduct or line-of-duty investigations; in evaluation boards; or to determine liability in administrative or legal claims for or against the government.

c. To the maximum extent permissible under the law, no one shall release Limited Use reports outside DoD. DoD will use its best efforts in court to prevent their release.

20. Lost Workday Case. A reportable lost-work-time case in a Class C mishap is one preventing a person from performing duty or work for 5 days or more after 2359 on the day of injury or onset of illness. This includes assignment to the Binnacle List or sick in quarters (SIQ). It does not include inport weekends, regular leave, or holidays, when not scheduled for duty. However, if the person is in a light-duty status or performs some work (even though not his or her normal job) it is not lost-work-time. All lost time while underway is considered lost-work-time.

21. Medical Attention. An injury or exposure requiring treatment by the ship's medical department representative (physician, nurse, or corpsman) and a medical record entry.

22. Mishap Costs. Mishap costs include all DoD property damage, other property damage, and injury costs.

a. DoD Property Damage Costs. To determine the cost of repair or replacement of all DoD property involved in the mishap, base estimates on the actual cost of materials and \$16 for each hour for labor.

b. Other Property Damage Costs. Use the actual cost of repair or replacement, if possible.

c. Injury Costs. NAVSAFECEN shall calculate the cost based on the extent of injury reported and the current costs taken from reference (i).

d. Written Estimates. When prepared in written form, all estimates shall conspicuously state:

"This estimate is prepared solely for the purposes of OPNAVINST 5100.21B. It is not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation."

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e. Assistance With Damage Issues. In all matters related, in any way, to damage to civilian or foreign ships on navigable water, to damage to any property or cargo on board such ships, or to injuries of persons on board such ships, refer to Chapter XII of reference (j) and/or contact the Office of the Judge Advocate General, Admiralty Division (Code 31).

f. Surveys of Damages. A survey of damages is a formal procedure relevant to admiralty claims and litigation. Only the Judge Advocate General may accept survey invitations from potential claimants, extend survey invitations to persons responsible for damage to naval property, or request representation of the United States by a marine surveyor. In no case, shall any person involved in mishap investigating or reporting accept or offer on behalf of the United States, an invitation for a survey of damages. In any instance of receipt of invitation to a survey, refer to Chapter XII of reference (j) and notify the Office of the Judge Advocate General, Admiralty Division (Code 31).

23. Mishap Investigation Board. A mishap investigation board is a formal investigating body appointed to determine the primary cause(s) of Class A shipboard mishaps. The board consists of a minimum of three members. The immediate superior in command (ISIC) of the ship or craft involved in the mishap normally appoints the Senior Member of the mishap investigation board.

24. MIR. An MIR is a Limited Use report written by a mishap investigation board as a result of Class A and selected Class B and other mishaps or near mishaps. An MIR contains privileged information. See enclosure (1) for information on the concept of privilege and enclosure (5) for the MIR format.

25. MR. An MR, enclosure (6), is a General Use report containing no privileged information. Surface ships, LCACs, and submarines submit an MR for all reportable shipboard mishaps not investigated by a mishap investigation board.

26. Moored. Secured alongside a pier, wharf, quay, or causeway; to a mooring buoy; or at anchor.

27. Motor Vehicle Mishap. A mishap involving the operation of a motor vehicle or motorcycle involving collisions with other vehicles, objects, or pedestrians; fatality, personal injury, or property damage; fatality or personal injury in moving vehicles or by falling from moving vehicles; towing or pushing mishaps; and other injury and property damage. Collisions involving pedestrians or bicyclists when struck by a motor vehicle, and other objects are to be included if other reporting requirements are met.

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a. Government Motor Vehicle - A motor vehicle owned, leased, or rented by the U.S. government (not individuals), and primarily designed for highway use to transport cargo or personnel. Under this definition, government owned mopeds and all terrain vehicles (ATVs) are motor vehicles. Any object such as a trailer being towed by a motor vehicle is a part of the vehicle, including such devices when detached while in motion or set in motion by a motor vehicle, (for example, pushing).

b. Private Motor Vehicle - A motor vehicle (not government owned), primarily designed for highway use to transport cargo or personnel. Under this definition, a moped is a motor vehicle. Although not designed primarily for highway use operation, ATVs, and trail bikes are included in this definition. Any object such as a trailer being towed by a motor vehicle is a part of the vehicle, including such devices when detached while in motion or set in motion by a motor vehicle, (for example, pushing).

28. Near Mishaps. An act or event which could have resulted in a mishap, but chance alone averted injury, death, or damage. Report the situations internally by Safety Hazard Report (OPNAV 3120/5) or Internal Mishap/Near Mishap Investigation Report; and externally, when there is a lesson learned, by SAFETYGRAM, (OPNAV 5102/4) to NAVSAFECEN. See reference (e).

29. Off-Duty. DoD personnel are off-duty when they are not on-duty as defined in paragraph 30 below.

30. On-Duty. DoD personnel are on-duty when:

a. Physically present at any location (area under the control of a DoD component) where they are to perform their officially assigned work. (This includes those activities incident to normal work activities that occur on DoD installations, such as lunch, coffee, or rest breaks, and all activities aboard vessels.

b. Being transported by DoD or commercial conveyance for the purpose of performing officially assigned work. (This includes travel in private motor vehicles for performing official duty, but not routine travel to and from work.)

c. Participating in compulsory physical training activities (including compulsory sports and command-sponsored activities during work hours).

d. Ready Reservists performing inactive duty training (drill) and are between departure and return home without diversion.

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e. On temporary duty or temporary additional duty (TDY/TAD). Personnel on assignment away from the regular place of employment are covered 24 hours a day with respect to any injury that results from activities essential or incidental to the temporary assignment. However, when personnel deviate from the normal incidents of the trip and engage in activities, personal or otherwise, which are not reasonably incidental to the duties of the temporary assignment contemplated by the employer, the person ceases to be considered on-duty for reporting purposes of occupational injuries or illnesses.

31. Permanent Partial Disability. An injury or occupational illness that does not result in death or permanent total disability but, in the opinion of competent medical authority, results in permanent impairment through loss, or loss of use, of any part of the body, with the following exceptions:

- a. Loss of teeth.
- b. Loss of fingernails or toenails.
- c. Loss of tips of fingers or tips of toes (less than one joint).
- d. Inguinal hernia, if it is repaired.
- e. Disfigurement.
- f. Sprains or strains that do not cause permanent limitation of motion.

32. Permanent Total Disability. A nonfatal injury or occupational illness that in the opinion of competent medical authority, permanently and totally incapacitates a person to the extent that he or she cannot follow any gainful occupation.

Note: The loss, or loss of use, of both hands, both feet, both eyes, or a combination of any of these parts of the body as a result of a single mishap, shall be considered as a permanent total disability.

33. Personal Information. Information exempt from release under exemption b(6) of the Freedom of Information Act.

34. Privileged Information. Testimony, evidence, or data obtained by the mishap investigation board based on the promise of confidentiality provided by the board that DoD will use the information for safety purposes only and not in any judicial or administrative proceedings. Enclosure (1) thoroughly discusses privileged information.

35. Property Damage. DoD and civilian or foreign facilities, equipment, property, or material destroyed or made inoperable in a DoD mishap. DoD expresses property damage severity in terms of cost. Total costs determine whether a mishap is reportable.

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36. Recompression Therapy. Treatment to compress gas bubbles in the blood to a small volume to relieve local pressure and restart blood flow, allow sufficient time for gas bubble resorption, and increase blood-oxygen content and improve oxygen delivery to injured tissues.

37. Risk Assessment Codes (RACs). A numerical measurement of the degree of risk developed by assessing hazard severity and mishap probability as discussed in references (d) and (e). Investigators may include RACs in the MIR and MR.

38. Under way. A vessel not made fast to the ground in any manner. She may or may not have way on (that is, she may be hove to), but she is free floating in the sea, subject to wind, currents, and of course her own propulsion system.

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MISHAP INVESTIGATION BOARD
ADMINISTRATION

The commanding officer notifies higher authority of serious shipboard mishaps. The Immediate Superior in Command (ISIC), or other higher authority, appoints a mishap investigation board for all afloat Class A mishaps. All mishap investigation boards consist of a Senior Member and at least two additional members. The board's purpose is to investigate the mishap fully to determine the causes. The board then prepares a Mishap Investigation Report (MIR) with its conclusions and recommendations.

1. Appointment of a Mishap Investigation Board

a. When a serious shipboard mishap occurs, the commanding officer or craftmaster notifies Commander, Naval Safety Center (COMNAVSAFECEN) and the chain of command. This is usually accomplished through an OPREP-3 or UNIT SITREP submitted according to references (k) and (p).

b. Upon notification of a potential Class A mishap, the fleet or type commander sends a message to the appointing authority indicating the endorsement chain.

c. If the mishap meets the criteria of a Class A mishap, a formal investigation by a mishap investigation board is required.

d. Mishap investigation board members are appointed, in writing. Unless a senior in the chain of command assumes the capacity as appointing authority, the ISIC is normally the appointing authority, as defined in paragraph 8i of the basic instruction. For Military Sealift Command (MSC), the appointing authority is Commander, Military Sealift Command, Atlantic (COMSCLANT) or Military Sealift Command, Pacific (COMSCPAC).

2. Senior Member of the Mishap Investigation Board

a. The mishap investigation board shall consist of a Senior Member and at least two other members.

b. The Senior Member shall:

(1) Convene and direct the mishap investigation using the guidelines in this enclosure and enclosure (4).

(2) Request technical assistance for the investigation from the appointing authority or type commander, when required.

(3) Provide direction to mishap investigation board members on specific policies, procedures, and restrictions.

Enclosure (3)

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(4) Refer requests to COMNAVSAFECEN, if there are questions about releasability, for any physical evidence, statements, logs, photographs, negatives, or tape recordings either by transfer of originals, if appropriate, or by making copies. The Senior Member and COMNAVSAFECEN shall consider requests only from individuals conducting a concurrent investigation under proper regulatory authority of any agency or department of the Government of the United States or by attorneys representing the interests of the United States in any litigation related to the incident which is the subject of the mishap investigation.

(5) Prepare and send the MIR as outlined in enclosure (5).

(6) Transfer custody of all relevant documentary evidence, board members' personal notes, original copies of all statements, photographs and negatives, and tape recordings (whether referenced in the MIR or not) to COMNAVSAFECEN. Include an inventory itemizing all the evidence the board considered. Send a copy of the inventory to all endorsers.

3. Members of the Mishap Investigation Board

a. Members - The ISIC of the ship involved or the commanding officer of the ship involved, if the ISIC delegates appointment authority, shall appoint a minimum of two commissioned officers, with suitable experience, to the mishap investigation board. If commissioned officers of suitable experience are not available for Landing Craft, Air Cushioned (LCAC) mishap investigations, senior enlisted personnel may be appointed. For LCAC operational mishaps (OMs), at least one member of the board shall be a qualified and designated Craftmaster.

b. Medical Member - In all cases involving death or injury, the commanding officer or the ISIC of the ship involved shall appoint a medical officer, or medical department representative for LCACs, as an additional member to the mishap investigation board.

c. Mishap investigation board members shall:

(1) Assist the Senior Member in thoroughly investigating the mishap using the guidelines contained in enclosure (4).

(2) Not divulge, except during deliberations, any information or opinions of the board.

(3) Assist the Senior Member in preparing the MIR using the format contained in enclosure (5).

(4) Consolidate all personal notes upon completion of the MIR and give them to the Senior Member for transmittal to NAVSAFECEN with the other evidence.

4. Mishap Investigation Advisor

a. COMNAVSAFECEN shall appoint a trained mishap investigation advisor for all afloat Class A mishaps, and provide an advisor for other mishaps when a trained investigator would benefit the investigation. The advisor shall be present at the initial convening of the board, if logistically feasible.

b. The advisor is not a member of the mishap investigation board, but serves to advise the board in investigation and reporting procedures.

c. The Senior Member shall extend to the advisor, unrestricted access to all evidence, statements, and proceedings.

d. The advisor may depart before the completion of the investigation, if the Senior Member and COMNAVSAFECEN agree.

5. Technical Assistance

a. The mishap investigation board may require the assistance of technical experts. Sources of technical assistance include, but are not limited to: NAVSAFECEN; Armed Forces Institute of Pathology; Navy Environmental and Preventive Medicine Units (NEPMUs); COMNAVSEASYSKOM; Naval Coastal Systems Center (NAVCOASTSYSCEN); Naval Surface Warfare Center, Ship Systems Engineering Station (NSWC NAVSSES); naval shipyards; hospitals; aviation depots; and equipment technical representatives.

(1) Request for Assistance. The appointing authority, the commanding officer of the ship involved, or the Senior Member may request assistance from local activities. Only the type commander, however, may request assistance when it involves distant activities, external agencies, or travel funding.

(2) Advisory Nature of Technical Assistance. Assistance given to a board is advisory in nature. Technical or medical specialists (other than the assigned medical member) are not members of the board. Serious consideration should be given to the recommendations offered by special advisors, but the board is not obligated to accept them. Except for the NAVSAFECEN mishap investigation advisor, the Senior Member shall not give the specialists access to board deliberations or the contents of Part Bravo of the MIR.

(3) Requests for NAVSAFECEN Assistance. A Senior Member who wants additional help from NAVSAFECEN, should submit a request by message (COMNAVSAFECEN NORFOLK VA//30/02/054//) or by telephone (DSN: 564-1562 or commercial: (804) 444-1562 during normal working hours (0800 - 1630 Eastern time); or DSN: 564-3520 or commercial: (804) 444-3520 after working hours.

b. The Senior Member should contact the NAVSAFECEN if any questions or doubts arise during the mishap investigation. Anyone can obtain assistance or clarification on any matter about a mishap investigation by contacting

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NAVSAFECEN. The phone numbers are: DSN: 564-1562 or commercial: (804) 444-1562 during normal working hours (0800 - 1630 Eastern time); and, DSN: 564-3520 or commercial: (804) 444-3520 after working hours.

6. Mishap Investigation Board Proceedings

a. The ISIC and the commanding officer of the unit involved coordinate the time and location of the initial meeting of the mishap investigation board. The ISIC provides the convening date and location to the operational chain of command and COMNAVSAFECEN as soon as possible.

b. The ISIC or commanding officer of the unit involved provides accommodations, local transportation, and administrative support. The Senior Member has authority to release messages specifically related to the mishap investigation and the MIR.

c. The Senior Member convenes the board as directed by the appointing authority.

d. The mishap investigation board thoroughly investigates the mishap using the procedures in enclosure (4) to determine the cause(s) and develops recommended actions to correct the hazard(s). The board prepares an MIR in the format of enclosure (5).

e. The Senior Member of the board forwards an MIR by naval message within 30 days of convening the board.

(1) If the mishap investigation board cannot meet the 30-day deadline, the Senior Member informs the appointing authority of the reason immediately and requests a deadline extension.

(2) The appointing authority advises the type commander of any requests for extension or waiver.

f. Once the Senior Member forwards the MIR, the Senior Member shall transfer custody of all relevant documentary evidence, board members' personal notes, original copies of all statements, photographs and negatives, and tape recordings (whether referred to in the MIR or not) to COMNAVSAFECEN. Return all nonprivileged physical evidence to the original custodian. The Senior Member shall send an inventory itemizing all the evidence the board considered to COMNAVSAFECEN and all endorsers. Divide the inventory into at least the following four parts:

(1) Unclassified, nonprivileged evidence sent to COMNAVSAFECEN.

(2) Unclassified, privileged evidence sent to COMNAVSAFECEN.

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(3) Classified, nonprivileged evidence sent to COMNAVSAFECEN.

(4) Unclassified, nonprivileged documents not sent to COMNAVSAFECEN.

g. Endorsers and other authorized recipients of the MIR and its endorsements shall retain them for 2 years from the date of the mishap, at which time they shall be destroyed.

h. COMNAVSAFECEN shall retain copies of MIRs and their endorsements for 5 years, at which time they may be destroyed.

i. Endorsers and other authorized recipients of an MIR and its endorsements may request, from COMNAVSAFECEN, copies of selected MIRs and their endorsements for safety training. MIRs and their endorsements shall be sanitized of all identifiable data which could connect them to an individual, organization, or a particular mishap. Sanitized MIRs and their endorsements shall be used for safety training purposes only.

j. MIRs and their endorsements shall not be filed under any individual's name or other personal identifier; nor shall information be retrievable from MIR files by an individual's name or other personal identifier. Failure to follow these guidelines may result in the inadvertent disclosure of privileged information in response to a Privacy Act request.

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SAMPLE MESSAGE TO APPOINTING AUTHORITY

FM Type Commander/Fleet Commander

TO Appointing Authority

INFO All MIR endorers

Mishap ship(s)

ISIC

COMNAVSAFECEN NORFOLK VA//30/054//

Other appropriate commands

UNCLAS //N05102//

MSGID/GENADMIN/Type Commander//

SUBJ/CONVENING MISHAP INVESTIGATION BOARD//

REF/A/OPREP-3/Mishap ship/DIG//

REF/B/DOC/CNO/date//

NARR/REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING//

POC/name/rank/primary phone/-/Type Commander/secondary phone//

POC/S. V. SCUDDER/GS12/DSN 564-1562/-/NAVSAFECEN/(804) 444-1562//

RMKS/1. REF A REPORTED A POSSIBLE CLASS A MISHAP INVOLVING USS SHIP. A MISHAP INVESTIGATION BOARD MAY BE REQUIRED IF THE MISHAP MEETS THE CRITERIA FOR A CLASS A MISHAP. THIS INCLUDES:

- A. A DEATH, OR
- B. AN INJURY RESULTING IN PERMANENT TOTAL DISABILITY, OR
- C. THE TOTAL COST OF REPORTABLE DAMAGE IS \$1,000,000 OR MORE.

2. IF YOU DETERMINE THE MISHAP MEETS CLASS A SEVERITY, ACCORDING TO PARA 8I OF REF B YOU MUST APPOINT A MISHAP INVESTIGATION BOARD. MEMBERS OF THE MISHAP INVESTIGATION BOARD CAN NOT BE ASSIGNED TO ANY OTHER INVESTIGATION (JAGMAN, BOARD OF INQUIRY) INTO THE MISHAP.

3. THE NAVAL SAFETY CENTER IS STANDING BY TO SEND AN ADVISOR TO ASSIST THE BOARD IN THE INVESTIGATION. THEY NEED TO KNOW WHEN AND WHERE THE BOARD WILL CONVENE.

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4. IF THE BOARD NEEDS TECHNICAL ASSISTANCE, THE SENIOR MEMBER MUST REQUEST ASSISTANCE THROUGH THE TYCOM.

5. UPON COMPLETION OF THE INVESTIGATION, THE SENIOR MEMBER SHOULD SEND THE MISHAP INVESTIGATION REPORT TO THE FOLLOWING ENDORSERS, UNLESS OTHERWISE ADVISED:

- A. Mishap ship
- B. ISIC
- C. TYCOM
- D. COMNAVSAFECEN//

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SAMPLE APPOINTMENT LETTER

5100
Code
Date

From: (Commander, Commanding Officer)
To: (Rank, Name, SSN, Service)
Via: (Command of the appointed member, if different from the appointing authority)

Subj: APPOINTMENT AS MEMBER OF (ORGANIZATION) MISHAP INVESTIGATION BOARD

Ref: (a) OPNAVINST 5100.21B, Afloat Mishap Investigation and Reporting

1. Based on your professional experience and knowledge, I appoint you as (the Senior Member) (a member) of the (organization) Mishap Investigation Board. You shall comply with reference (a) in the performance of your duties.

2. I direct your attention to the provisions of reference (a) concerning privileged information. You shall properly safeguard all privileged information available to you as a member of the board.

3. When investigating and reporting a shipboard mishap, your duties as a member of the board shall take precedence over all other duties. You will not be assigned to do a JAG Manual or other investigation of the same mishap.

4. The responsibility inherent in the appointment extends beyond any loyalties you may hold to the command. The afloat safety program depends on the efforts of mishap investigators to analyze mishaps to identify and remove potential causes of damage and injury. The sole objective of the board is mishap prevention. Therefore, your efforts should include complete, open, and forthright expressions of your views. Rest assured, the MIR shall be used within the command, and elsewhere within the Department of the Navy, for safety purposes only.

5. Should any circumstances arise which would prevent the proper performance of your duties as a member of the board, you shall immediately notify me.

6. Contact the Naval Safety Center if you experience any difficulties in properly conducting the investigation.

//Signed//

Copy to:

Enclosure (3)

MISHAP INVESTIGATION AND REPORTING PROCEDURES

Formal investigative procedures conducted by a designated mishap investigation board are required for all Class A shipboard mishaps. The Senior Member of the board directs the investigation and submits a Mishap Investigation Report (MIR). The investigation and resulting findings are for safety purposes only and are restricted in their release. The mishap investigation takes precedence over any other investigation of the same mishap, unless the investigation uncovers evidence of a criminal act.

1. Conducting an Investigation

a. The appointed members of the mishap investigation board are responsible for conducting an accurate, complete, and timely investigation of their assigned mishap. Their responsibilities include:

(1) Collecting, organizing, interpreting, and protecting all physical and testimonial evidence.

(2) Ensuring photographs and videotapes accurately depict the mishap scene, whether taken prior to or after arrival of the board.

(a) Photographs staged by the mishap investigation board (planned or posed to illustrate a specific condition or situation) are privileged because of the deliberative process. Other photographs are nonprivileged.

(b) All captions or markings placed on photographs suggesting the mishap board's deliberative process are also privileged.

(c) Photographs of human injuries/remains that are not staged are not privileged, but may be exempt from disclosure under exemption b(6) of the Freedom of Information Act.

(3) Interpreting logs, records, blueprints, schematics, and written procedures.

(4) Taking statements from witnesses, including advising all witnesses in writing of the restricted uses of their privileged testimony.

(5) Reconstructing the sequence of events leading up to, and immediately following, the mishap.

(6) Preparing the Mishap Investigation Report (MIR).

(7) Transferring custody of all relevant documentary evidence, board members' personal notes, original copies of all statements, photographs and negatives, and tape recordings (whether referred to in the MIR or not) to COMNAVSAFECEN. Return all nonprivileged physical evidence to the original

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custodian. Send an inventory itemizing all the evidence the board considered to COMNAVSAFECEN and all endorsers.

b. COMNAVSAFECEN shall assign a mishap investigation advisor to every board convened for a Class A mishap. The advisor is not a member of the mishap investigation board. The advisor is trained in investigative procedures and techniques and can provide the board with guidance.

c. NAVSAFECEN 5102/30, Afloat Mishap Investigation Handbook, discusses various investigative techniques, includes checklists for various mishap investigations, and provides sample mishap reports.

2. Related Investigations

a. Besides the safety mishap investigation, other organizations may conduct investigations simultaneously for the same mishap. The external investigations should not interfere with the safety mishap investigation. They may include investigations by any of the following organizations:

- (1) International Criminal Police Organization (INTERPOL)
- (2) Judge Advocate General (JAG)
- (3) Federal Bureau of Investigation (FBI)
- (4) Occupational Safety and Health Administration (OSHA)
- (5) Naval Criminal Investigative Service (NAVCRIMINVSER)
- (6) U.S. Coast Guard (USCG)
- (7) National Transportation Safety Board (NTSB)

b. The mishap investigation board conducts its investigation of a mishap separately from all other investigations. Members of the board shall not release information revealing the source of any physical evidence obtained as a result of privileged information nor any testimony given under the assurance of privilege. Despite those limitations, cooperation and access to nonprivileged physical evidence and witnesses among investigators is encouraged.

c. The most frequent, concurrent investigation is the Manual of the Judge Advocate General (JAGMAN) investigation. The U.S. Navy chain of command directs JAG Manual investigations for legal or administrative purposes.

(1) Members of a mishap investigation board shall neither participate in nor conduct a JAG Manual investigation of the same mishap.

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(2) Except for nonprivileged physical evidence, the JAG Manual investigator shall not use any part of the mishap investigation in the JAG Manual investigation.

(3) The Senior Member of the Mishap Investigation Board must coordinate the disposition of physical evidence and the restoration of the mishap scene with JAG Manual, and other, investigators.

3. Privileged Information and Testimony

a. Privileged information is that information voluntarily provided under a promise of confidentiality, or information which would not have been discovered but for information voluntarily provided under a promise of confidentiality. The deliberative analyses of findings, conclusions, and recommendations of the mishap investigation board are privileged. Also privileged are calculations and deductions conducted by the mishap investigation board that would reveal the board's deliberative process. Forwarding endorsements are also part of the deliberative process and are similarly privileged against disclosure.

b. Privileged information is an essential element of an MIR. Enclosure (1) thoroughly discusses the concept of privilege.

4. Collection of Evidence

a. The mishap investigation board will collect various types of evidence. The board may uncover some physical evidence because of privileged testimony. Information revealing the source of physical evidence obtained by the board as a result of privileged information is also privileged and is never releasable.

b. It is not feasible to list the methods of collecting evidence for each possible situation. The Department of the Navy must rely on the judgement of the Senior Member. Evidence may include:

(1) Witness Statements. A witness statement is an account of the circumstances surrounding a mishap recalled by the witness. The witness should write the statement out, record, or dictate it to a member of the board. The statement is not obtained under oath and may include opinions, secondhand information, and speculation about the mishap. All such witness statements provided to the board are privileged information.

(a) No one shall give statements made to members of a mishap investigation board to any other investigator.

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(b) JAGMAN and other investigators may make their witnesses' statements available to the board. The mishap investigation board can glean information from the statements, but should re-interview appropriate witnesses. JAGMAN statements, taken under oath, may not contain as much information as statements made under the assurance of privilege and limited use.

(2) Medical Materials. Medical materials the board may use as evidence include laboratory results, medical records, hospital admission forms, diagrams of wounds, psychological profiles, or physician's written opinions.

(a) Because of the transitory nature of some medical evidence, quick action by the medical department representative (MDR) at the scene is necessary. The MDR shall collect the initial, particularly transient, medical evidence as directed by the commanding officer or higher authority. The transient evidence includes specimens to determine blood alcohol and drug levels.

(b) Medical factors, such as physiological, social, behavioral, and psychological, may provide insight into the cause of the mishap. The board may consider medical factors during its deliberations.

(c) The medical officer, when assigned, shall coordinate the analysis of medical evidence with all other aspects of the investigation and participates fully in the investigation and deliberations of the board.

(3) Wreckage or Damaged Equipment. Wreckage or damaged equipment is physical proof of a mishap. The physical proof includes the area or equipment directly affected by the mishap and the surrounding damaged areas.

(a) The commanding officer shall make every reasonable effort to preserve and protect damaged equipment and wreckage in its original position and condition following the mishap. If necessary, cordon off, secure or guard mishap scenes to prevent disturbance of wreckage.

(b) Operational requirements or damage control measures may require disturbing the mishap scene before the board arrives. In such cases, the commanding officer of the ship involved in the mishap shall protect the mishap site or damaged area from loss or further damage; make every reasonable effort to make an accurate plot of the scene; and, take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area.

(c) Once a mishap investigation board is convened, only the Senior Member can authorize the disturbance of damaged areas or wreckage. The Senior Member must coordinate disturbing the mishap scene with other investigators.

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(d) To determine the cost of repair or replacement of all DoD property involved in the mishap, base estimates on the actual cost of materials and \$16 for each hour for labor. When prepared in written form, all estimates shall conspicuously state:

"This estimate is prepared solely for the purposes of OPNAVINST 5100.21B. It is not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation."

(e) In all matters related, in any way, to damage to civilian or foreign ships on navigable water, to damage to any property or cargo on board such ships, or to injuries of persons on board such ships, refer to Chapter XII of reference (j) and/or contact the Office of the Judge Advocate General (OJAG), Admiralty Division (Code 31).

(f) A survey of damages is a formal procedure relevant to admiralty claims and litigation. Only the Judge Advocate General may accept survey invitations from potential claimants, extend survey invitations to persons responsible for damage to naval property, or request representation of the United States by a marine surveyor. In no case, shall any person involved in mishap investigating or reporting accept or offer on behalf of the United States, an invitation for a survey of damages. In any instance of receipt of invitation to a survey, refer to Chapter XII of reference (j) and notify OJAG, Admiralty Division (Code 31).

(4) Criminal. If, during the investigation, an investigator discovers signs of a criminal act related to the mishap, the Senior Member shall immediately inform the appointing authority who shall confer with legal counsel and notify the NAVCRIMINSER together with COMNAVSAFECEN.

(a) Nonprivileged evidence gathered by the mishap investigation board may be releasable to other investigators. The Senior Member shall not release information revealing the source of any physical evidence obtained as a result of privileged information, nor any testimony given under the assurance of privilege.

(b) The Senior Member shall turn over all other nonprivileged physical evidence to the senior NAVCRIMINSER agent.

(c) The Senior Member may continue the safety mishap investigation, if directed by the appointing authority and approved by OJAG. Valuable safety information may result from investigating a mishap which occurred subsequent to the criminal act.

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(d) According to the 1984 Memorandum of Understanding Between the Departments of Justice and Defense Relating to the Investigation and Prosecution of Certain Crimes, a safety mishap investigation shall not be initiated nor proceed without prior coordination with and concurrence from appropriate Department of Justice (DOJ) investigative and prosecutive agencies where a criminal investigation or prosecution by DOJ is ongoing.

5. Causes and Considerations

a. The mishap investigation board shall consider all the possible causes of a mishap. The board must determine the cause(s), supported by the available evidence. The board may reject some possible causes because of a lack of supporting evidence.

b. Classify possible causes as follows:

(1) Human Error. More than 50 percent of all mishap investigations determine the cause was human error. Human error findings take into account human involvement in the events leading up to a mishap, action taken by personnel as the mishap is occurring, and actions taken after the mishap occurred. Human error takes into account both physical and mental factors.

(a) Physical human error factors to consider in a mishap investigation include ergonomics (design of the workplace), physical strength and condition of the individual, physical stresses, and the body's subsequent responses.

(b) Mental human factors include the person's attitude, ability to retain and assimilate training, external mental stresses such as interpersonal relationships, and mental illnesses.

(c) The medical officer, when assigned, investigates and analyzes human factors such as physical and mental conditions. In many cases, this may include a 72-hour account of activities of the key participants. Sometimes it could require a brief medical and psychological profile. Other considerations for each participant include:

1. Results of post-mishap physical examinations
2. Summary of life stressors
3. Relationships with co-workers, family, and friends
4. Acute and chronic medical problems
5. Use of medications and alcohol

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(2) Maintenance and Support Factors. Maintenance and support factors may include improper maintenance, poor assignment of priorities on work requests, or lack of proper Quality Assurance (QA). Shipyards, Intermediate Maintenance Activities, contractors, or ship's force may be connected with maintenance- and support-related mishaps.

(3) Administrative and Supervisory Factors. The investigation shall consider the possible effect of regulations and their enforcement from all levels in the chain of command. Execution of procedures and policies published by higher authority, such as Naval Warfare Publications (NWP), Navy Tactical Publications (NTP), Ordnance Publications (OP), the Safe Engineering and Operations Program (SEAOPS) for LCACs, Operational Orders (OPORDs), and Standing Orders are possible contributing factors for the board to consider.

(a) On board ship, supervisory factors concerning operating or maintenance personnel should be considered.

(b) Examples of the causes are the level of supervision, lack of Personnel Qualification Standards (PQS) qualification, and inadequate crew and supervisor training. The training may include both formal and informal instruction.

(4) Material Failures or Malfunctions. The board shall consider all material failures and malfunctions thoroughly, regardless of whether they occurred because of faulty design, defective manufacture, or repair.

(5) Environmental Conditions. Environmental conditions are usually not cause factors. For example, a cause of a mishap might be excessive speed for existing sea conditions or failure to secure for sea but the high sea state did not cause the mishap.

6. Mishap Investigation Board Conclusions and Recommendations

a. The board shall base its conclusions on all available information. Its conclusions are an assessment of what caused the mishap, and the subsequent damage or injury. The board should evaluate the conclusions under consideration by asking, "If someone had identified and eliminated the hazard(s) before the mishap, would the action have prevented the mishap (or subsequent damage or injury)?"

(1) Conclusions. During the analysis of mishap causes, determining "what happened" is not enough. The board must make every effort to determine the "why" of the mishap.

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(a) For example, an engine fails as a ship is mooring resulting in significant damage. The engine failure is not a cause--it is the effect. The cause might be an improperly manufactured piece of piping or maintenance error.

(b) If the board cannot determine the cause(s), but they can infer the probable cause(s) from the evidence, its conclusion shall include the probable cause(s).

(c) The board should only consider a finding of "Cause(s): Undetermined," for mishaps where the evidence, real and circumstantial, supports no other conclusion.

(2) Recommendations. Based on their conclusions, individual board members shall make recommendations to correct the cause(s) of the mishap. The board should evaluate the recommendations under consideration by again asking, "If someone had identified and eliminated the hazard(s) based on the recommendation before the mishap, would the action have prevented the mishap (or subsequent damage or injury)?" If the answer is no, then do not include the recommendation in the MIR. If the answer is yes, include the recommendation and recommended action agency in the MIR.

(3) Hazards Determined Not To Be Causes. During an investigation, the board may detect hazards which, though requiring corrective action, did not cause the mishap. The board should not include unrelated hazards in the MIR. The Senior Member should inform the commanding officer of the ship of additional hazards detected. The ship should then report the hazards as required by reference (e).

b. The Senior Member may use Risk Assessment Codes (RACs) (references (d) and (e)) to measure the severity of the mishap and probability of its recurrence, and include the RAC in the MIR.

7. Preparation of the MIR

a. The Senior Member is responsible for drafting the MIR.

(1) The Senior Member shall send the MIR by naval message within 30 days of the convening of the board.

(2) If the Senior Member feels it will not be possible to meet the 30-day deadline, the Senior Member shall inform the appointing authority of the reason immediately and request an extension of the deadline.

(3) The appointing authority shall advise the type commander of any requests for extensions for submitting the MIR.

b. Enclosure (5) provides a sample format for the MIR and report preparation guidance.

8. Disposition of Evidence. Once the MIR is completed, the Senior Member shall forward any evidence collected during the mishap investigation to COMNAVSAFECEN. Upon completion of the mishap investigation, the disposition of all evidence becomes the responsibility of COMNAVSAFECEN who shall:

a. Take custody of all relevant documentary evidence, board members' personal notes, original copies of all statements and logs; photographs and negatives, tape recordings (whether referenced in the MIR or not), and the inventory itemizing all the evidence the board considered.

b. Make available, upon request, any documentary evidence, logs, photographs, negatives, or tape recordings which are not privileged according to the terms of this instruction, either by transfer of originals (after making and retaining copies) or by inspection/copying to:

(1) MIR endorsers.

(2) Individuals conducting a concurrent investigation under proper regulatory authority of any agency or department of the Government of the United States or by attorneys representing the interests of the United States in any litigation related to the incident which is the subject of the mishap investigation.

c. Make available, upon request, any documentary evidence, board members' personal notes, statements, logs, the evidence inventory, photographs, negatives, or tape recordings which are privileged according to the terms of this instruction, either by transfer of originals (after making and retaining copies) or by inspection/copying, to MIR endorsers.

d. After writing their endorsement, COMNAVSAFECEN shall:

(1) Turn over material (other than privileged information) to the JAG investigators for retention, if requested.

(2) Retain evidence requested by the type commander for use in lessons learned.

(3) Send originals of any Deck or Engineering logs, if received, to CNO as required by OPNAVINST 3100.7B.

(4) Send original Service Record (USN) or Service Record Book (USMC) entries, if received, for missing or killed naval personnel according to BUPERS Manual (Section 5030140), or USMC Individual Record/Administration Manual, MCO P-1070.12.

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(5) In any case where the United States or any other party has commenced litigation, no evidence shall be destroyed without permission of the attorney representing the interests of the United States in the litigation.

(6) Retain custody of MIRs and their endorsements for 5 years, at which time they may be destroyed.

(7) Prior to disposing of any documentary or physical evidence, consult the Judge Advocate General, Admiralty Division (Code 31), who will, where appropriate, coordinate with other divisions within the Office of the Judge Advocate General.

(8) Unless otherwise directed by the Judge Advocate General, dispose of or destroy statements, copies of logs, and other records according to applicable regulations. Ensure privileged material is disposed of or destroyed according to applicable directives.

ADVICE TO WITNESSES

THIS IS PART OF A LIMITED USE MISHAP INVESTIGATION REPORT.
LIMITED DISTRIBUTION AND SPECIAL HANDLING ARE REQUIRED
AS PROVIDED FOR IN OPNAVINST 5100.21B.

THIS STATEMENT IS PRIVILEGED AND IS EXEMPT FROM DISCLOSURE UNDER FOIA.

DO NOT FILE THIS STATEMENT IN A SYSTEM OF RECORDS SUBJECT TO THE PRIVACY ACT.
FOR EXAMPLE, THIS STATEMENT MUST NOT BE RETRIEVABLE BY NAME, SOCIAL
SECURITY NUMBER, DATE OF BIRTH, OR OTHER UNIQUE IDENTIFIER
ASSOCIATED WITH AN INDIVIDUAL.

Authority: 10 U.S.C. 5031

Principal Purposes: To determine the cause of the mishap so the U.S. Navy can improve equipment design, safety and warning devices, operating and maintenance procedures and training, administrative and engineering controls, and personnel protective devices to prevent or reduce to a minimum the accidental loss of naval personnel and material.

Official Use(s): The information requested will be used by the mishap investigation board, officials and employees of the Naval Safety Center, and other Department of Defense officials to prevent mishaps and to promote and monitor safety and safety programs. Collective or individual mishap investigation reports form the basis for safety advisories to the fleet, material for safety publications, and for recommendations in human factors and equipment design to higher authority to prevent mishaps.

Mandatory or Voluntary Disclosure: The information being requested is voluntary. However, your failure to provide the requested information will diminish the overall understanding of the causes of the mishap.

PLEASE READ THIS STATEMENT CAREFULLY.
CERTIFY YOUR UNDERSTANDING BY SIGNING AT THE BOTTOM.

I understand:

- a. I have been requested to provide information to a mishap investigation board.
- b. My statement will not be under oath or affirmation.
- c. Disclosure of information is voluntary; my election or refusal to provide such information will have no adverse effect upon me.
- d. The mishap investigation board and the Department of Defense will use the information I provide solely to determine the cause(s) of the mishap and to make safety evaluations for future prevention of loss of life/material.
- e. The information I provide shall not be used as evidence, or to obtain evidence, in any other administrative or judicial proceeding(s) to determine misconduct or line of duty status, or governmental liability.
- f. Examples of situations where the information provided by me shall NOT be used include:
 - (1) In any determination affecting me.
 - (2) As evidence in determining misconduct or line of duty status of other personnel.
 - (3) As evidence in any disciplinary proceedings.
 - (4) To assert affirmative claims by the government or to defend the government against claims.
 - (5) Before any administrative boards, such as officer evaluation boards (USN) or Field Performance Boards (USMC).

1. PRINTED NAME		2. SIGNATURE	
3. DATE	4. RANK/RATE	5. SERVICE	6. TELEPHONE NO.
7. YOUR ADDRESS			
8. PRINTED NAME OF BOARD MEMBER		9. SIGNATURE	
10. STATEMENT (Continue on reverse or attach separate sheets)			

MISHAP INVESTIGATION REPORTS (MIRs)

The mishap investigation board writes an MIR after completing its investigation. The release, distribution, and control of the MIR is limited to prevent unauthorized disclosure of report contents. MIRs are Limited Use Reports containing privileged information.

1. Mishap Investigation Report (MIR) Elements

a. The MIR:

(1) Informs the chain of command of the probable cause(s) of the mishap.

(2) Summarizes lessons learned from the mishap to prevent their recurrence.

(3) Identifies procedural changes or equipment alterations to prevent future mishaps.

b. The MIR has two parts:

(1) Part Alpha - Contains nonprivileged information that is generally releasable to the public. However, this instruction may prohibit the release of certain, selected portions of Part Alpha, such as personal information covered by the Freedom of Information and Privacy Acts. Part Alpha includes mishap facts; such as the unit identification code (UIC), mishap location, information on injured personnel, and types of damage. Part Alpha is similar to the Mishap Report (MR) included in enclosure (6). Part Alpha information is not privileged information and Commander, Naval Safety Center (COMNAVSAFECEN) may release Part Alpha information to the general public, except for information protected under exemption b(6) of the Freedom of Information Act.

(2) Part Bravo - Contains privileged information that is not releasable to the public. The SOLE USE is for safety purposes. Part Bravo includes a summary of the evidence collected, the sequence of events of the mishap, and the opinions and recommendations (and recommended action agency) of the board. Part Bravo information, together with the endorsements, is privileged information and COMNAVSAFECEN shall not release this information to the general public. Any privileged information that is released solely for safety purposes by COMNAVSAFECEN shall be appropriately sanitized or expunged to protect privileged or personal information. See paragraph 5 of enclosure (1).

c. MIRs are Limited Use Reports, as defined in reference (i). They are used for safety purposes only. Other investigators shall not use the

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privileged information contained in the MIR or its endorsements in any other investigation or report.

(1) Freedom of Information Act Access. The Freedom of Information Act, 5 USC 552 (1982 and Supp. IV 1986) (FOIA) makes most of Part Alpha, including nonprivileged physical evidence and information in logs and other records releasable to the public, except for information protected under exemption b(6) of the Freedom of Information Act. Exemption b(5) to the Freedom of Information Act protects Part Bravo of a limited use MIR and its endorsements from disclosure. This exemption protects, for example, privileged witness statements, hearsay evidence, board opinions and recommendations, endorsements, and physical evidence acquired by the board as a result of privileged information.

(2) Privacy Act of 1974. Limited use MIRs, their endorsements, and information contained in them shall not be maintained in a system of records covered by the Privacy Act. In records covered by the Privacy Act, information can be retrieved by the name of the individual, an identifying number, symbol, or other unique identifier associated with an individual.

d. No one shall incorporate excerpts from an MIR, privileged statements, board opinions and recommendations, or endorsements into JAG Manual investigations or any other investigative report. To preclude association with disciplinary action, the Senior Member shall not include any reference to legal or administrative action, or other performance-related administrative action in an MIR.

e. Distribution of Part Bravo of MIRs, together with their endorsements, outside the commands specified in this instruction or authorized by Chief of Naval Operations (CNO) is strictly prohibited. Enclosure (1) contains guidance on the release of mishap investigation report information.

2. Writing and Sending the Mishap Investigation Report (MIR)

a. The Senior Member is responsible for drafting the MIR based on the investigative procedures in enclosure (4). This enclosure provides a sample format for the MIR.

b. The Senior Member shall send the MIR by naval message within 30 days of the convening of the mishap investigation board.

(1) If the Senior Member feels the board will not meet the 30-day deadline, the Senior Member shall inform the appointing authority of the reason immediately and request a deadline extension.

(2) The appointing authority shall advise the type commander of any requests by the Senior Member for an extension on the 30-day deadline for submitting the MIR.

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3. Classification and Handling of MIRs

a. MIRs are normally unclassified.

(1) If the Senior Member cannot complete a meaningful, unclassified report, the Senior Member may submit a classified MIR, or a classified section for an otherwise unclassified MIR.

(2) In all cases, the Senior Member shall include the following statement in the heading of the MIR:

"FOR OFFICIAL USE ONLY. DISTRIBUTE ONLY TO THE COMMANDER OR OFFICE CODE(S) FOLLOWING EACH ADDRESSEE. THIS IS A PRIVILEGED, LIMITED USE, CONTROLLED DISTRIBUTION SAFETY MISHAP INVESTIGATION REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. SEE OPNAVINST 5100.21B FOR RESTRICTIONS."

b. MIRs contain privileged information and require special handling. All recipients and endorsers of an MIR shall avoid its uncontrolled release which could result in unauthorized disclosure.

(1) Uncontrolled disclosure of MIRs, and their endorsements, to individuals not requiring access, such as placing an MIR on general access message boards, is not appropriate.

(2) Controlled handling of MIRs, and their endorsements, is appropriate. Ensure their distribution only to specific individuals requiring knowledge of their content, for safety purposes, such as routing MIRs directly from individual to individual or from office to office in file folders.

4. Distribution of MIRs

a. The Senior Member normally sends the MIR after returning to his or her permanent command. However, there may be occasions when the MIR must be sent from the mishap ship. In this case the Senior Member should ensure it is clear to all addressees that the MIR is from the Senior Member and not the mishap ship, such as using an office code following the ship's plain language address (PLA), using the appointing authority's PLA with an office code (//SENIOR MEMBER//), or as a detachment of the appointing authority.

b. The Senior Member shall distribute MIRs as follows:

(1) Address the MIR action to the required endorsers; including, the ship involved in the mishap; the ISIC; the type commander; and COMNAVSAFECEN NORFOLK VA//30/054//; and information to CNO WASHINGTON DC//N86D/N871D/N885/N889E1// and the appropriate fleet and group commander (when not an action addressee).

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(a) If the mishap involved U.S. Marine Corps personnel or equipment, add Commandant of the Marine Corps (CMC WASHINGTON DC//MHS//) as an addressee.

(b) If the mishap involves MSC personnel or equipment, include Commander, Military Sealift Command (COMSC WASHINGTON DC//N4/N42/N00M/N3//) as an addressee.

(c) If the mishap involves an LCAC; add COMNAVSEASYS COM WASHINGTON DC//PMS377// as an action addressee and NAVSURFWAR CEN COASTALSTA PANAMA CITY FL//33// as an information addressee.

(2) Forward all evidence, listed in enclosure (4), resulting from the mishap investigation to COMNAVSAFE CEN for retention and disposition.

c. Distribution of MIRs, together with their endorsements, outside the commands specified in this instruction, or authorized by CNO, is strictly prohibited.

d. Use Standard Subject Identification Code (SSIC) 05102 on all MIRs so receiving commands can limit internal distribution to activities requiring the report for safety purposes. Internal command distribution of MIRs shall be limited to those who require knowledge of the report for safety purposes.

5. Endorsements

a. Endorsements on an MIR are privileged and shall be made by message in the format included in this enclosure.

(1) Use SSIC 05102 on all endorsements so receiving commands can limit internal distribution to activities requiring them for safety purposes. Internal command distribution of the endorsements shall be limited to those who require knowledge for safety purposes.

(2) Endorsers shall list each probable cause, rejected probable cause, and recommendation and recommended action agency on the MIR or previous endorsements and state their agreement or disagreement with each one. If the MIR, or a previous endorser, recommended action by the current endorser, state the action you have taken on that recommendation.

(3) If an endorser agrees with all conclusions and recommendations in the MIR, as modified by previous endorsements, then a brief statement of concurrence is sufficient.

(4) Since MIR endorsements become a part of the MIR, and fall under the concept of privileged information, endorsers shall provide complete and open information, opinions, and recommendations.

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b. Endorsers may request any documentary evidence, copies of statements and logs, photographs and negatives, or tape recordings from COMNAVSAFECEN. The endorser shall return the materials to COMNAVSAFECEN for retention and disposition.

c. The required endorsers for an MIR are:

(1) The commanding officer of the ship involved in the mishap who shall endorse the MIR within 7 days of receipt.

(2) The ISIC of the ship involved in the mishap who shall endorse the MIR within 14 days of receipt of the previous endorsement.

(3) The type commander, who shall endorse the report within 14 days of receipt of the previous endorsement.

(4) Commander, Naval Sea Systems Command (COMNAVSEASYSCOM) (PMS-377) who shall endorse all MIRs involving LCACs. Other COMNAVSEASYSCOM or COMNAVAIRSYSCOM code(s), if requested by the Senior Member or other endorser. The systems commander shall endorse the report within 14 days of receipt of the previous endorsement.

(5) Fleet Commander in Chief or Numbered Fleet Commander (for mishaps involving more than one type commander), who shall endorse the MIR within 14 days of receipt of the previous endorsement.

(6) COMNAVSAFECEN who shall prepare their endorsement and send a copy to all endorsers within 14 days of receipt of the previous endorsement.

d. If an endorser cannot meet the above deadlines, they shall request an extension from the type commander by message. The request shall describe specific reasons for the extension.

e. The Fleet Commander In Chief or type commander can direct other commands (for example, numbered fleet commanders and administrative group or squadron commanders) to endorse the report, if desired. If directed, those commands shall send the endorsement within 14 days of receipt of the previous endorsement.

f. If the commanding officer of a ship involved in a mishap detaches from the command before writing the endorsement, the type commander may provide him or her with a copy of the MIR and give him or her the opportunity to write a statement about the contents of the MIR. The detached commanding officer shall send the statement by naval message to the type commander within 14 days of receiving the MIR. Based on the contents of the statement, the type commander will either:

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(1) Readdress the statement to all endorsers of the MIR for their consideration.

(2) Provide the statement to COMNAVSAFECEN only for inclusion with the mishap file.

6. Dissemination of Safety Information. COMNAVSAFECEN and the type commander, when appropriate, shall extract safety information and issue lessons learned, but shall avoid the disclosure of the source of privileged or personal information.

7. Release of Mishap Information. The release of afloat safety program mishap investigation report information shall be as specified in paragraph 6 of enclosure (1), unless otherwise authorized by CNO.

8. Retention and Disposition of Records

a. Once the Senior Member forwards the MIR, the Senior Member shall transfer custody of all relevant documentary evidence, board members' personal notes, original copies of all statements, photographs and negatives, and tape recordings (whether referred to in the MIR or not) to COMNAVSAFECEN. The Senior Member shall send an inventory itemizing all the evidence the board considered to COMNAVSAFECEN and all endorsers.

b. Endorsers and other authorized recipients shall retain custody of the MIR and its endorsements for 2 years from the date of the mishap, at which time they shall be destroyed.

c. COMNAVSAFECEN shall retain custody of the MIRs and their endorsements for 5 years, at which time they may be destroyed.

d. Endorsers and other authorized recipients of an MIR and its endorsements may request, from COMNAVSAFECEN, copies of selected MIRs and their endorsements for safety training. The MIRs and their endorsements shall be sanitized of all identifiable data which could connect them to an individual, organization, or a particular mishap. Sanitized MIRs and their endorsements shall be used for safety training purposes only.

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SAMPLE MESSAGE FORMAT
MISHAP INVESTIGATION REPORT (MIR)
 REPORT SYMBOL OPNAV 5102-7

Use the format and content below for reporting the results of the mishap investigation board. Send the report as a message:

(Precedence - normally ROUTINE)

FM Releasing command (Normally the Senior Member's command)

TO Mishap ship(s)

ISIC

Group Commander (when required)

Type Commander

COMNAVSEASYS COM WASHINGTON DC//PMS377//

Systems Command//appropriate office code//

(ICAC ONLY)

(When determined by
the Senior Member or
other endorser)

Fleet Commander (when required)

COMNAVSATFECEN NORFOLK VA//30/054//

INFO NAVSURFWAR CEN COASTAL STA PANAMA CITY FL//33//

(ICAC ONLY)

CNO WASHINGTON DC//N86D/N871D/N885/N889E1//

Fleet Commander (when not an action addressee)

Group Commander (when not an action addressee)

UNCLAS //N05102//DISTRIBUTE ONLY TO THE COMMANDER OR OFFICE CODE(S)
FOLLOWING EACH ADDRESSEE.

(Normally UNCLAS unless the content requires including classified information.)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/AFLOAT MISHAP INVESTIGATION REPORT (MIR) (REPORT SYMBOL OPNAV 5102-7)//

REF/A/(If follow-up message, refer to original message.)//

REF/B/DOC/CNO/date//

NARR/REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A PRIVILEGED, LIMITED USE, CONTROLLED DISTRIBUTION, SAFETY MISHAP INVESTIGATION REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. SEE OPNAVINST 5100.21B FOR RESTRICTIONS.//

POC/NAME/RANK/PRIMARY PHONE/PRIMARY FREQ/LOCATION/SECONDARY PHONE/SECONDARY FREQ//

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RMKS/ALPHA: (NONPRIVILEGED)

1. UICs OF MISHAP COMMANDs
2. HULL NUMBER/SIDE NUMBER
3. TYPE OF MISHAP (For example, flooding, fire, injury, electric shock, death, collision, grounding, explosion, back injury, chemical or toxic exposure, or equipment damage.)
4. LOCAL TIME AND DATE OF MISHAP
5. GEOGRAPHIC LOCATION (Latitude/Longitude or port. If classified, give general area.)
6. WEATHER CONDITIONS (For example, temperature, relative humidity, visibility, lighting, ventilation, air quality, wind speed, sea state, current, tide, wind direction, precipitation, lightning, ducting, hurricane, and other.)
7. LOCATION WHERE MISHAP OCCURRED (Give workcenter or description of the location. For example, torpedo room; main deck, compartment number, side and frame number, mess decks, flight deck, or 76mm gun magazine.)
8. SHIP OR CRAFT'S EVOLUTION AT THE TIME OF MISHAP (For example, underway replenishment, mooring, and on-cushion approach to beach.)
9. SEA STATE AND DIRECTION
10. SHIP'S EMPLOYMENT (For example, type training (TYT), refit, independent steaming exercises (ISE), maintenance availability, underway, anchored, submerged, or dry-docked.)
11. PAYLOAD (For example, type cargo and load weight) (LCAC-ONLY)
12. SENIOR MEMBER and COMMAND (Include telephone number, if available.)
13. EQUIPMENT OR CRAFT DAMAGED OR DESTROYED BY THE MISHAP (Include EIC, TEC, FGC (functional group code), or NSN (if applicable); describe damage.)
14. ESTIMATED COST TO REPAIR OR REPLACE DOD PROPERTY (Provide the total dollar value and UIC and name of command having custody of the property (if different from reporting activity). The cost includes \$16 for each hour of labor plus the cost of material and equipment.)
15. ESTIMATED COST OF NON-DOD PROPERTY DAMAGE

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16. NUMBER OF SCHEDULED OPERATING DAYS LOST

17. NAME/SSN/AGE/SEX (Repeat items 17 through 24 if the mishap involves reportable injuries to more than one person.)

18. RANK and DESIGNATOR or RATE and NEC, JOB AND EMPLOYMENT STATUS (Examples of employment status include USN, USNR, USNR-R, other Department of Defense personnel, Navy Federal Civil Servants, contractors, Foreign Military Exchange personnel, and Foreign Civilians.)

19. DUTY STATUS (On- or off-duty.) and UIC (if different from reporting activity). (If the mishap involves injuries to people from different commands, specify the UIC of each individual.) CREW POSITION - LCAC ONLY.

20. SPECIFIC JOB OR ACTIVITY INDIVIDUAL ENGAGED IN AT TIME OF MISHAP (For example, conducting PMS, standing watch, loading stores, training, and boat crew.)

21. NUMBER OF MONTHS EXPERIENCE AT THE JOB OR ACTIVITY (in paragraph 20)

22. MEDICAL DIAGNOSIS (Include parts of body and type of injury.)

23. FATALITY, EXTENT OF INJURIES, AND PROGNOSIS FOR DISABILITY (Specify fatality, missing, permanent total disability, permanent partial disability, or no disability likely.)

24. ESTIMATE OF LOST TIME

A. TOTAL NUMBER OF DAYS AWAY FROM JOB (Lost work days)/DAYS LOST BEFORE PERMANENT LOSS TO COMMAND

B. DAYS IN HOSPITAL OR SICK BAY

C. DAYS OF LIGHT OR LIMITED DUTY

25. RISK ASSESSMENT CODE (RAC) (Optional)

BRAVO (PRIVILEGED) (Contains the mishap investigation board's deliberative evaluation.)

1. BRIEF DESCRIPTION OF THE MISHAP (Include chain of events leading up to, through, and subsequent to mishap)

2. SUMMARY OF EVIDENCE AND TESTIMONY ANALYZED (Include the date and the registered number of evidence package sent to COMNAVSAFECEN and the date (if different) copies of the inventory were sent all endorsers.)

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3. DETAILED SEQUENCE OF EVENTS
4. OPINIONS OF THE MISHAP INVESTIGATION BOARD (AS APPLICABLE)
 - A. THE ADEQUACY AND USE OF APPROVED PROCEDURES
 - B. THE QUALIFICATIONS OF THE PEOPLE INVOLVED
 - C. THE STATE OF TRAINING OF THE PEOPLE INVOLVED AND OF THE CREW IN COMBATING THE MISHAP
 - D. THE EFFECTIVENESS OF SUPERVISION
 - E. THE EFFECTIVENESS OF THE QUALITY ASSURANCE PROGRAM, WHERE APPLICABLE
 - F. THE EFFECTIVENESS OF DAMAGE CONTROL EFFORTS
 - G. THE ROLE PREVENTIVE AND CORRECTIVE MAINTENANCE PLAYED IN THE MISHAP
 - H. ANY EXISTING MATERIAL DEFICIENCIES OR SHORTCOMING WHICH MAY HAVE CONTRIBUTED TO THE MISHAP
5. ANALYSIS OF FINDINGS
 - A. PROBABLE CAUSE(S) OF THE MISHAP (State each probable cause of damage and injury with a short rationale.)
 - B. OTHER CAUSES CONSIDERED BUT REJECTED (State each possible cause of damage and injury rejected by the mishap investigation board with a short rationale.)
6. RECOMMENDATIONS (State recommendations for changes in procedure, equipment, or training, to prevent the recurrence of the mishap. Include the mishap investigation board's recommended action agency for each recommendation and the proposed lessons learned.)

SAMPLE MESSAGE FORMAT
MISHAP INVESTIGATION REPORT ENDORSEMENTS (MIREs)
REPORT SYMBOL OPNAV 5102-7A

Use the format and content below for endorsing the Mishap Investigation Report (MIR). Send the endorsement as a message.

(Precedence - normally ROUTINE)

FM Endorsing command

TO Subsequent endorsers based on MIR addressees

COMNAVSAFECEN NORFOLK VA//30/054//

INFO NAVSURFWARCECEN COASTALSTA PANAMA CITY FL//33// (LCAC ONLY)

CNO WASHINGTON DC//N8/N86D/N871/N885/N09//

All previous endorsers

UNCLAS //NO5102//DISTRIBUTE ONLY TO THE COMMANDER OR OFFICE CODE(S)
FOLLOWING EACH ADDRESSEE.

(Normally UNCLAS unless the content requires including classified information.)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/PRIVILEGED FIRST/SECOND ENDORSEMENT ON AFLOAT MISHAP INVESTIGATION REPORT
(MIR) (REPORT SYMBOL OPNAV 5102-7A)//

REF/A/(Include the original MIR and all previous endorsements.)//

REF/B/DOC/CNO/date//

NARR/REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING.
THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A PRIVILEGED, LIMITED USE,
CONTROLLED DISTRIBUTION, SAFETY MISHAP INVESTIGATION REPORT ENDORSEMENT.
UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS ENDORSEMENT IS A CRIMINAL
OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. SEE
OPNAVINST 5100.21B FOR RESTRICTIONS.//

POC/NAME/RANK/PRIMARY PHONE/PRIMARY FREQ/LOCATION/SECONDARY PHONE/SECONDARY
FREQ//

RMKS/1. Brief description of the mishap based on the MIR and previous
endorsements. Include a general statement on the mishap investigation board
findings and previous endorsements.

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2. List each probable cause, rejected probable cause, and recommendation from the MIR and previous endorsements, and your agreement or disagreement with each. For each point of disagreement, identify alternative recommendations or actions and recommended action agency. For each recommendation under your cognizance, report the status and/or your plan of action and milestones for accomplishment.

3. Provide any amplifying information, additional comments, or action taken or intended by the endorser concerning the mishap.

MISHAP REPORTs (MRs)

In the interest of mishap prevention, the Navy needs to investigate all mishaps. Class A shipboard mishaps require convening a mishap investigation board, investigating the mishap, and submitting an MIR. In certain instances, where vital safety information may be obtained, the type commander may direct a mishap investigation board for a Class B and other mishaps and near mishaps. Other reportable shipboard mishaps do not require a mishap board. However, they do require the submission of an MR in the format provided in this enclosure.

The following mishaps require the submission of a Mishap Report (MR):

- a. Class A or B mishaps occurring to the ship's on-duty personnel while ashore or involving damage to the ship's equipment located ashore.
- b. Class B mishaps occurring on board ship that are not investigated by a mishap investigation board and reported by MIR.
- c. Reportable Class C mishaps occurring on board ship, to the ship's on-duty personnel ashore, or involving damage to the ship's equipment located ashore.
- d. Special case mishaps occurring on board ship or to the ship's on-duty personnel ashore.

The MR is a General Use Mishap Investigation Report, and shall not include privileged information. The MR shall not state the source of any information.

If investigating personnel determine there is a need to obtain privileged information that may reveal valuable safety information, they shall advise the commanding officer, who shall then ascertain the need for a mishap investigation board and inform the ISIC.

1. Reportable Afloat Mishaps

a. If an MIR is submitted, the mishap does not require a separate MR. Commanding officers shall report the following mishaps within the scope of paragraph 4 of the basic instruction) using an MR.

(1) Class B Mishap. The total cost of reportable property damage is \$200,000 or more, but less than \$1,000,000; an injury or work-related illness resulting in permanent partial disability; or a mishap resulting in the hospitalization of five or more people. The type commander may select some Class B and other mishaps or near mishaps for investigation by a mishap investigation board and report by an MIR. An MR is required for Class B mishaps not reported by an MIR.

Enclosure (6)

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(2) Class C Mishap. The resulting total cost of reportable property damage is \$10,000 or more, but less than \$200,000; or an injury preventing an individual from performing regularly scheduled duty or work beyond the day or shift on which it occurred; or a nonfatal illness or disability causing loss of time from work or disability at any time (lost time case). For data collection and analysis purposes, the following Class C mishaps shall be reported to Commander, Naval Safety Center (COMNAVSAFECEN):

(a) The resulting total cost of reportable property damage is \$10,000 or more, but less than \$200,000.

(b) An injury or disability preventing personnel from performing regularly scheduled duty for 5 days or more after 2359 on the day of injury or onset of illness.

(3) Special Case Mishaps. For data collection and analysis purposes, the following special case afloat mishaps require the submission of an MR to COMNAVSAFECEN:

(a) All cases of electric shock. Include the voltage in the report.

(b) All cases of hazardous material, chemical or toxic exposure requiring medical attention.

(c) All cases of back injury resulting from a mishap requiring medical attention.

(d) All mishaps involving explosives, oxidizers, incendiaries, explosive systems or chemical warfare agents. Mishaps include detonation, accidental launch, malfunction, dangerous defect, improper handling, damage to a launching device, weapon impact off range or other unusual or unexpected weapons-related occurrence. Follow the reporting requirements of enclosure (7). If the explosive mishap meets the criteria for an afloat Class A mishap, conduct a formal mishap investigation (enclosure (4)) by a board which shall then submit an MIR (enclosure (5)).

(4) If an internal mishap investigation produces valuable lessons learned, submit an MR to COMNAVSAFECEN NORFOLK VA//30/054// even if the mishap is otherwise not reportable. Your analysis could help other commands avoid the same mistake.

b. Diving mishaps, motor vehicle mishaps, or off-duty recreation, athletics, or home mishaps are discussed in enclosures (8), (9), and (10).

c. The commanding officer shall submit an MR to COMNAVSAFECEN within 30 calendar days of mishap occurrence.

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2. Investigation of Minor Mishaps

a. The commanding officer is concerned with all shipboard mishaps, regardless of severity. All shipboard mishaps warrant some level of investigation to prevent recurrence.

(1) A mishap resulting in little damage or minor injury may uncover a situation with the potential to cause frequent and severe mishaps.

(2) The investigation of a mishap may uncover a hazard which would rarely cause another mishap, but the information can only be determined through mishap investigation.

b. Commanding officers shall direct the investigation of Class B mishaps not investigated by a board, all Class C mishaps, and all special case mishaps.

(1) The commanding officer may apply the mishap investigation procedures contained in enclosure (4) to Class B, Class C, special case, and other mishap investigations. However, the investigators shall not make any promise of confidentiality under the concept of privilege to any person and the proceedings of the board are not privileged.

(2) All reportable afloat mishaps not reported by MIR shall be reported to the COMNAVSAFECEN by MR.

c. The commanding officer shall:

(1) Direct the investigation of ALL mishaps.

(2) Use the Mishap/Near Mishap Investigation Report form in reference (d) for internal mishap investigations, if desired.

(3) Use the SAFETYGRAM (OPNAV 3120/5) in reference (e) to report lessons learned which may affect other commands, if not reported by MR.

d. There is no requirement to submit an MR on minor mishaps not falling under the definition of reportable mishaps.

3. Preparing Mishap Reports (MRs)

a. Commanding officers shall use the format in this enclosure for all Class B mishaps not investigated by a board, all reportable Class C, all special case mishaps. Submit the report by message or letter, as appropriate for the urgency.

b. In the MR, reference any CASREPs, OPREPs, or UNIT SITREPs submitted and any previous mishaps reports.

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c. When the information available is not sufficient to complete a comprehensive MR within 30 days, provide as much information as is available. Submit the remaining details, when known.

4. Classification and Handling of Mishap Reports (MRs)

a. MRs are normally unclassified unless the commanding officer cannot complete a meaningful, unclassified report.

b. MRs are handled as General Use Mishap Reports defined in reference (i). In all cases, the commanding officer shall include the following statement in the heading of the MR:

"FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE SAFETY MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES AS DEFINED IN OPNAVINST 5100.21B."

c. MRs contain personal information and other sensitive data protected by the Freedom of Information and Privacy Acts.

(1) Users shall protect MRs from unauthorized disclosure. MRs shall not contain privileged information. They shall not state the source of any information.

(2) MRs, or information extracted from them, shall not be maintained in a system of records subject to the Privacy Act. In records covered by the Privacy Act, information can be retrieved by the name of the individual, an identifying number, symbol, or other unique identifier associated with an individual.

(3) To preclude association with disciplinary action, do not include any reference to legal or administrative action, or other performance-related administrative action in an MR.

d. Recipients shall handle MRs as follows:

(1) MRs contain personal information protected by the Freedom of Information and Privacy Acts and require careful handling. All recipients of an MR shall avoid its uncontrolled release which could result in unauthorized disclosure.

(2) Ensure MRs are distributed only to specific individuals requiring knowledge of their content, for safety purposes.

5. Distribution of Mishap Reports (MRs)

a. The commanding officer shall address MRs to:

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- (1) COMNAVSAFECEN NORFOLK VA//30/50/054//.
- (2) Superiors in the chain of command, as directed.
- (3) Any other command, as desired.

(4) Commander, Naval Sea Systems Command (COMNAVSEASYS COM WASHINGTON DC//PMS377//) and information to Naval Coastal Systems Center (NAVSURFWARCEN COASTALSTA PANAMA CITY FL//33//), CNO WASHINGTON DC//N86D/N866D//, and AIG ONE THREE EIGHT SIX ZERO (13860) for mishaps involving LCACs.

b. Direct questions regarding distribution of MRs to COMNAVSAFECEN or your chain of command.

6. Dissemination of Safety Information

a. COMNAVSAFECEN, when appropriate, shall extract safety information and issue lessons learned, but shall avoid the disclosure of information exempt from disclosure under the Freedom of Information Act.

b. Other commands, such as the type commander, may extract safety information and issue lessons learned, but shall avoid the disclosure of information exempt from disclosure under the Freedom of Information and Privacy Acts. Include COMNAVSAFECEN NORFOLK VA//30/054// as an information addressee on any lessons learned issued.

7. Release of Mishap Information. The release of nonprivileged afloat safety program mishap report information shall be as specified in this paragraph, unless otherwise authorized by CNO.

a. Release Based on the Freedom of Information Act (FOIA). Either expressed or implied requests for information under FOIA shall be sent to COMNAVSAFECEN, Attention: Code 03.

b. Privacy Act. Information in MRs shall not be maintained in a system of records subject to the Privacy Act. Specifically, the information must not be retrievable by the name of an individual, or by social security number, or other identifying number, symbol, or unique identifier associated with an individual.

c. Release by an Individual having Knowledge of Mishap Reports (MRs). An individual having knowledge of the contents of an MR is prohibited from disclosing the information, except as authorized by this instruction. If

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anyone asks for information from any individual having knowledge of the contents of an MR, they should immediately contact COMNAVSAFECEN, Attention: Code 03.

d. Release to U.S. Navy, U.S. Marine Corps, and Other Department of the Navy Activities. Forward requests for mishap information from Navy, Marine Corps, and other Department of the Navy activities to COMNAVSAFECEN, Attention: Code 03.

e. Release to Other U.S. Military Services. Exchange of safety program information among the military services shall be limited to the respective safety centers, and shall be controlled to prevent disclosure of information.

f. Release to the News Media. The Department of the Navy Public Affairs Regulations, SECNAVINST 5720.44A (NOTAL) contains information on releasing mishap information to the media. The Navy shall, however, preserve the information in MRs which is not releasable to the media.

g. Release to Congress. Forward requests for information from Congress, Congressional committees or subcommittees, or staff members to CNO or CMC, as appropriate.

h. Release to Relatives of Persons Involved in Afloat Mishaps. In discussing the mishap with relatives of people involved in a mishap, make no inference to the cause. Do not divulge classified information. Do not show, discuss with, or give copies of an MR to the next of kin, or their agents or representatives.

i. Subpoenas for Information. Refer any subpoenas for mishap information for use in civil or criminal proceedings, anticipated litigation, or in administrative claims against the government, to the Judge Advocate General, Department of the Navy.

j. Release to Technical Representatives, Defense Contract Administration Services (DCAS) Representatives, and Contractors. Forward requests for mishap information from technical representatives, manufacturers, Defense Contract Administration Services (DCAS) representatives, and contractors or their agents to COMNAVSAFECEN via Commander, Naval Sea Systems Command (COMNAVSEASYS COM) (SEA-00D). The endorsement of COMNAVSEASYS COM (SEA-00D) shall certify whether the requested information is required for safety purposes with respect to product design or improvement. Any response shall include a warning to ensure the recipient uses the information for safety purposes only. The recipient shall not disclose the information to any other individual or entity.

k. Release to North Atlantic Treaty Organization (NATO) Nations. If a maritime incident involves units or personnel of two or more NATO nations, the provisions of NATO Standardization Agreement (STANAG) 1179 (NOTAL), Combined

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Investigation of Maritime Incidents, become effective. Under the provisions of STANAG 1179, NATO nations agree to conduct either a combined court of inquiry, a national inquiry attended by witnesses and/or observers from other nations, or an independent national inquiry coordinated by the presidents of the inquiries. Any command receiving a request for information from an afloat mishap investigation from a NATO country shall forward the request immediately to COMNAVSAFECEN, Attention: Code 03.

l. Release to Other Foreign Nations. Forward requests for information on mishaps from foreign governments to COMNAVSAFECEN, Attention: Code 03.

m. Unspecified Cases. Forward requests not stipulated above to COMNAVSAFECEN, Attention: Code 03.

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SAMPLE MESSAGE OR LETTER FORMAT

MISHAP REPORT (MR)

REPORT SYMBOL OPNAV 5102-6

Use the format and content below to report all reportable mishaps not investigated by a mishap investigation board. Submit as much information as is available. Submit supplementary reports as necessary to supply the missing information, when it becomes available. The MR shall not include privileged information or the sources of any information.

IF THE REQUESTED DATA DOES NOT APPLY, IS NOT RELEVANT TO THE MISHAP, OR IS UNKNOWN, INSERT "NOT APPLICABLE" - "N/A" - or "UNKNOWN" - "UNK," AS APPROPRIATE.

(Precedence - normally ROUTINE)

FM REPORTING ACTIVITY
TO COMNAVSAFEEN NORFOLK VA//30/50/054//
COMNAVSEASYSOOM WASHINGTON DC//PMS377// (LCAC ONLY)
INFO As desired, directed, or requested by higher authority
NAVSURFWARCEM COASTALSTA PANAMA CITY FL//33// (LCAC ONLY)
AIG ONE THREE EIGHT SIX ZERO (LCAC ONLY)
CNO WASHINGTON DC//N86D/N866D// (LCAC ONLY)

UNCLAS //N05102// (Normally unclassified unless classified information must be included.)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/AFLOAT MISHAP REPORT (MR) (REPORT SYMBOL OPNAV 5102-6)//

REF/A/(If follow-up message, refer to original message.)//

REF/B/DOC/CNO/date//

NARR/REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE SAFETY MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES AS DEFINED IN OPNAVINST 5100.21B.//

POC/NAME/RANK/PRIMARY PHONE/PRIMARY FREQ/LOCATION/SECONDARY PHONE/SECONDARY FREQ//

RMKS/ALPHA:

1. UICs OF MISHAP COMMANDS
2. HULL NUMBER/SIDE NUMBER

3. TYPE OF MISHAP (For example, flooding, fire, injury, electric shock, collision, grounding, explosion, back injury, chemical or toxic exposure, or equipment damage.)
4. LOCAL TIME AND DATE OF MISHAP
5. GEOGRAPHIC LOCATION (Latitude/Longitude or port. If classified, give general area.)
6. WEATHER CONDITIONS (For example, temperature, relative humidity, visibility, lighting, ventilation, air quality, wind speed, sea state, current, tide, wind direction, precipitation, lightning, ducting, hurricane, and other.)
7. LOCATION WHERE MISHAP OCCURRED (Give workcenter or description of the location. For example, torpedo room; main deck, compartment number, side and frame number, mess decks, flight deck, or 76mm gun magazine.)
8. SHIP'S OR CRAFT'S EVOLUTION AT THE TIME OF MISHAP (For example, underway replenishment, mooring, or on-cushion approach to beach.)
9. SEA STATE AND DIRECTION
10. SHIP'S EMPLOYMENT (For example, type training (TYT), refit, independent steaming exercises (ISE), maintenance availability, underway, anchored, submerged, or dry-docked.)
11. PAYLOAD (For example, type cargo and load weight) (LCAC ONLY)
12. RISK ASSESSMENT CODE (RAC) (Optional)

BRAVO:

1. EQUIPMENT OR CRAFT DAMAGED OR DESTROYED BY THE MISHAP (Include EIC, TEC, FGC (functional group code), or NSN (if applicable); describe damage.)
2. ESTIMATED COST TO REPAIR OR REPLACE DOD PROPERTY (Provide the total dollar value and UIC and name of command having custody of property (if different from reporting activity). The cost includes \$16 for each hour of labor plus the cost of material and equipment.)
3. ESTIMATED COST OF NON-DOD PROPERTY DAMAGE
4. NUMBER OF SCHEDULED OPERATING DAYS LOST

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CHARLIE:

1. NAME/SSN/AGE/SEX (Repeat items 1 through 8 if the mishap involves reportable injuries to more than one person.)
2. RANK and DESIGNATOR or RATE and NEC, JOB AND EMPLOYMENT STATUS (Examples of employment status include USN, USNR, USNR-R, other Department of Defense personnel, Navy federal civil servants, contractors, Foreign Military Exchange personnel, and foreign civilians.)
3. DUTY STATUS (On- or off-duty) and UIC (if different from reporting activity). (If the mishap involves injuries to people from different commands, specify the UIC of each individual.) CREW POSITIONS - LCAC ONLY.
4. SPECIFIC JOB OR ACTIVITY INDIVIDUAL ENGAGED IN AT TIME OF MISHAP (For example, conducting planned maintenance (PMS), standing watch, loading stores, training, and boat crew.)
5. NUMBER OF MONTHS EXPERIENCE AT THE JOB OR ACTIVITY (in paragraph 4)
6. MEDICAL DIAGNOSIS (Include parts of body and type of injury.)
7. EXTENT OF INJURIES AND PROGNOSIS FOR DISABILITY (Specify extent of injuries and outlook; for example, permanent partial disability or no disability likely.)
8. ESTIMATE OF LOST TIME
 - A. TOTAL NUMBER OF DAYS AWAY FROM JOB (Lost work days)/DAYS LOST BEFORE PERMANENT LOSS TO COMMAND
 - B. DAYS IN HOSPITAL OR SICK BAY
 - C. DAYS OF LIGHT OR LIMITED DUTY

DELTA: NARRATIVE

1. CHAIN OF EVENTS LEADING UP TO, THROUGH AND SUBSEQUENT TO MISHAP (Explain the "who, what, where, why, when, and how" of the mishap. Give the class (A, B, C, or D) of any fires. Include the source and how the fire was extinguished. If a flooding mishap, give the source of the flooding and de-watering technique. If a collision, give estimates of damage and identify ships involved. If a chemical or toxic exposure, try to identify the chemical or material involved, the amount or concentration, and length of exposure. For LCACs, discuss other embarked personnel, injured nonoccupants, craft mission and evolution leading to the mishap, and payload involvement. If an

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electric shock, give the primary and alternate power sources and the voltage (AC or DC). If personal protective equipment (PPE) was required, was it worn? Was it effective? Evaluate the effectiveness of damage control equipment and procedures.

2. RECOMMENDATIONS OR ACTION TAKEN TO PREVENT RECURRENCE.//

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REPORTABLE EXPLOSIVE MISHAP OR
CONVENTIONAL ORDNANCE DEFICIENCY REPORTS (EMRs/CODRs)

A significant potential for damage or injury exists in mishaps involving explosives. Therefore, the requirements for reporting explosive mishaps are more extensive than for other types. This enclosure establishes the requirements and procedures for reporting all afloat mishaps and deficiencies involving conventional ordnance, explosives, and chemical agents.

Class B and C severity Explosive Mishap Reports (EMRs) and Conventional Ordnance Deficiency Reports (CODRs) are General Use Mishap Reports, as defined by reference (i). Reports of Class A explosive mishaps occurring afloat are Limited Use Mishap Reports, defined by reference (i), submitted by the mishap investigation board using the procedures in enclosures (3) and (4) and the mishap investigation report format in enclosure (5). Modify the mishap investigation report to include the information required by the sample explosive mishap report in this enclosure. Mishap investigation reports of Class A explosive mishaps are used for safety purposes only and contain privileged information. The release, distribution, and control of the reports is limited to prevent unauthorized disclosure of report contents.

1. Definitions

a. Explosive Mishaps. An incident or accident involving conventional ordnance, ammunition, explosives, or explosive systems and devices resulting in an unintentional detonation, firing, deflagration, burning, launching of ordnance material (including all ordnance impacting off-range), leaking or spilled propellant fuels and oxidizers, or chemical agent release. Even if an ordnance system works as designed, if human error contributed to an incident or accident resulting in damage, injury, or death, report the event as an explosive mishap.

b. Conventional Ordnance Deficiency. A malfunction, observed defect, or induced defect involving conventional ordnance, explosives, ammunition, explosives systems or devices, support and handling equipment used to handle, load, store, or transport ordnance.

c. Explosive Material. A chemical, or a mixture of chemicals, which undergo a rapid chemical change (with or without an outside supply of oxygen) liberating large quantities of energy in the form of blast, light, or hot gases. Incendiary materials and certain fuels and oxidizers which can be made to undergo a similar chemical change are also explosive materials. Examples of explosive materials include:

(1) Explosives: PBXN, PETN, PBXC, RDX, black powder, and smokeless powder.

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(2) Fuels and Oxidizers: OTTO fuel, mixed amine fuel, inhibited red fuming nitric acid, and ethylene oxide.

(3) Incendiaries: Magnesium, thermite, and pyrotechnics.

d. Explosive System. A weapon, device, or tool using explosive materials. For this instruction, an explosive system also includes its components and the operationally adjacent mechanisms. Examples of explosive systems are: small arms, projectiles, bombs, missiles, rockets, targets using explosive material, mines, torpedoes, grenades, charges, rounds, cartridge activated devices (CADs), explosively operated stud drivers, flares, and smoke grenades.

e. Chemical Agent. A chemical compound intended for use in military operations to kill, seriously injure, or incapacitate people through its chemical properties. Excluded are riot control agents, chemical herbicides, pesticides, and industrial chemicals unrelated to chemical warfare.

2. Reportable Mishaps and Deficiencies

a. Explosive Mishaps. Report the following afloat events using the format in this enclosure. Use "Explosive Mishap Report" in the subject line. If you want an engineering investigation, add the request to the subject line. (Use "Explosive Mishap Report/Engineering Investigation Request" as the subject.) Also, include your request for the engineering investigation in Part I ECHO (narrative) of the message report.

(1) Detonation, Deflagration, Burning, or Firing. An unintentional or inadvertent initiation, explosion, or reaction of an explosive material, component, or system. Accidental discharge of all guns, including small arms.

(2) Inadvertent Launch. An unintentional launching of a weapon.

(3) Chemical Agent Release. Any unintentional or uncontrolled release of a chemical agent when:

(a) Damage occurs to property from contamination or costs are incurred for decontamination.

(b) Individuals exhibit physiological symptoms of agent exposure.

(c) The quantity released to the atmosphere creates a serious potential for exposure.

(4) Propellant Fuels and Oxidizers. Leaking or spilled propellant fuels and oxidizers.

(5) All ordnance impacting off-range.

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b. Conventional Ordnance Deficiencies. Report the following afloat events as conventional ordnance deficiencies using the format in this enclosure. Use "Conventional Ordnance Deficiency Report" in the subject line. If you want an engineering investigation, add the request to the subject line. (Use "Conventional Ordnance Deficiency Report/Engineering Investigation Request" as the subject.) Also, include your request for the engineering investigation in Part I ECHO (narrative) of the message report.

(1) Malfunctions. The failure of an explosive component, weapon, or weapon system to function as designed. (For example, failure to launch and dud weapons).

(2) Improper Handling. Ordnance handling incidents attributed to human error. Examples include misuse of equipment, failure to follow established procedures, and violation of safety precautions resulting in dropped or damaged ordnance. Other examples include human error during processing, assembling, testing, loading, storing, and transporting ordnance.

(3) Inadvertent Arming. The unintentional arming of an explosive component or weapon.

(4) Defective Weapons Support Equipment. Deficiencies involving any equipment or device used in the manufacture, test, assembly, handling, or transportation (skids, trailers, or similar equipment) of any explosive system.

(5) Observed Defect. A discovered defective weapon or weapon system. Examples include, protruding primers, damaged components, cracked grains, and advanced corrosion.

(6) Other

(a) An event which, except for chance, would have been an explosive mishap.

(b) Any failure or malfunction of, or damage to a launch device or associated hardware and software resulting in a hazardous condition when handling or otherwise manipulating dummy, exercise, or explosive material.

(c) Unusual or unexpected occurrences, unnatural phenomena, unfavorable environments, or instances of equipment failure which may damage or affect safety of an explosive material or system. This includes Hazards of Electromagnetic Radiation to Ordnance (HERO) sensitive explosive systems exposed to radiation hazard (RADHAZ) environments.

(d) The failure of a missile or explosive system to test, calibrate, or otherwise meet pre-loading or pre-launch requirements. (For example, the failure of Built-in-Test (BIT)).

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(e) Use of Explosive Ordnance Disposal (EOD) services involving military explosives for other than routine disposal of explosives.

c. Exceptions

(1) OPNAVINST 8600.2A (Naval Airborne Weapons Maintenance Program) (NOTAL). Report mishaps or deficiencies occurring during airborne weapon systems and equipment operations, including armament supporting equipment (any equipment used in loading or unloading an explosive system or launch device on an aircraft), according to OPNAVINST 8600.2A.

(2) OPNAVINST 3100.6F (Special Incident Reporting (OPREP-3, Navy Blue and UNIT SITREP) Procedures) and JCS Publication 1-03.7. Report nuclear weapons mishaps and incidents according to OPNAVINST 3100.6F and JCS Publication 1-03.7.

(3) OPNAVINST 5102.1C (Mishap Investigation and Reporting). Report explosive mishaps and conventional ordnance deficiencies occurring ashore according to OPNAVINST 5102.1C.

(4) NAVSEA OP 2165 Volume I (Navy Transportation Safety Handbook for Ammunition, Explosives and Related Hazardous Material) and NAVSEA OP 8020.13B. Weapons and ordnance stations report explosive mishaps and conventional ordnance deficiencies occurring while the explosive material or system is in the custody of a common (commercial) carrier according to OP 2165 Volume I and NAVSEA OP 8020.13B.

3. Post-Mishap and Deficiency Action

a. The activity experiencing the mishap or deficiency shall:

(1) Stop using the item, lot, or batch involved pending guidance from higher authority.

(2) Start the reporting procedures.

(3) Accurately and quickly respond to requests for additional information.

b. Depending on the severity of the explosive mishap or deficiency, other U.S. Navy commands and activities shall assist in identifying the actual cause and take steps to ensure similar mishaps or deficiencies do not occur. For example:

(1) The mishap may require a Mishap Investigation Report (MIR) for a Class A mishap.

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(2) Commander, Naval Sea Systems Command; Commander, Naval Air Systems Command; or Commandant, U.S. Marine Corps may designate all related explosive systems unserviceable, direct follow-up test and evaluation of various lots to identify defective hardware, or initiate procedural changes in the use of the weapons system.

(3) Commander, Ships' Parts Control Center (SPCC), Mechanicsburg, PA; shall support the above command decisions regarding disposition and use of defective or questionable parts by issuing a Notice of Ammunition Reclassification (NAR).

(4) Commander, Naval Safety Center will enter all relevant information into a data repository.

4. Reporting Requirements

a. Appointing authorities shall require the investigation and reporting of all Class A severity explosive mishaps occurring in their chain of command using the procedures in enclosures (3) and (4). This mishap investigation board shall submit a mishap investigation report in the format of enclosure (5) modified to include the information required by the sample explosive mishap report in this enclosure.

b. Commanding officers, officers in charge, and masters shall require the investigation and reporting of all Class B and C severity reportable explosive mishaps and reportable conventional ordnance deficiencies occurring within their command.

(1) Special Cases. When a report under this instruction is required solely as the result of Explosive Ordnance Disposal (EOD) service, the responsibility for submitting the report rests with the following, in the order given:

(a) The U.S. Navy activity requesting EOD services.

(b) The U.S. Navy activity having operational control of the EOD personnel rendering the service.

(c) In cases not covered by (a) or (b) above, the EOD group to which the EOD personnel are permanently attached.

(d) If EOD units respond in an explosive mishap, ensure the appropriate EOD units are information addressees on all reports.

c. Submission of Reports

(1) General. Reports are unclassified (FOR OFFICIAL USE ONLY), unless inclusion of classified material is essential.

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(2) Message Reports. The message report described in this instruction is required for all explosive mishaps and conventional ordnance deficiencies. The report shall be submitted in addition to any reports required by other directives.

(a) OPREP-3 Reports. The submission of an OPREP-3 report does not relieve the command from the requirement for submitting an explosive mishap or conventional ordnance deficiency report.

(b) Initial Message or Telephone Report. Make an initial explosive mishap report for all Class A and B severity explosive mishaps by immediate message in the format provided in this enclosure giving as much information you have available. When circumstances permit, also make a telephone report within 24 hours to the following (if they are action addressees on the message report):

1. During normal working hours (0800 -1630 Eastern time):

CNO (N411) - DSN: 225-7093 or commercial: (703) 695-7093

COMNAVSEASYSYSCOM (SEA-665) - DSN: 332-2080 or commercial: (703) 602-2080

COMNAVAIRSYSYSCOM (AIR-516C1) - DSN: 222-8702 or commercial: (703) 692-8702
(Explosive material/equipment)

COMNAVAIRSYSYSCOM (AIR-09F) - DSN: 222-1234 or commercial: (703) 692-1234
(Deaths and injuries)

COMNAVSAFECEN (Code 43) - DSN: 564-3343 or commercial: (804) 444-3343

2. Outside normal working hours (1630 - 0800 Eastern time):

CNO (Navy Department Duty Captain) - DSN: 225-0231 or commercial: (703) 695-0231

COMNAVSEASYSYSCOM (Watch Officer) - DSN: 332-7527 or commercial: (703) 602-7527

COMNAVAIRSYSYSCOM (Duty Officer) - DSN: 222-1666 or commercial: (703) 692-1666

COMNAVSAFECEN (Duty Officer) - DSN: 564-3520 or commercial: (804) 444-3520

(c) Upon completion of the preliminary mishap investigation of a Class B mishap, submit a supplementary report providing additional or changed information from the initial report. Send all supplementary reports within 7 days of the initial report.

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(d) Submit an initial routine explosive mishap message report within 24 hours for all Class C explosive mishaps and in the following circumstances:

1. One or more individuals exhibiting physiological symptoms of agent exposure.
2. An unintentional or uncontrolled release of chemical agent where the agent quantity released to the atmosphere creates a serious potential for injury or death.
3. Injuries sustained as a result of an explosive mishap or conventional ordnance deficiency which meets the definition of a lost time case.

(e) Submit a message report within 30 days for all other explosive mishaps or deficiencies. Do not submit letter reports instead of messages.

5. Reports to the Department of Defense Explosives Safety Board (DDESB). DoD Instruction 6055.7 of 10 April 1989 (NOTAL) requires each DoD component to submit reports to the DDESB for mishaps involving ammunition, explosives, and chemical agents and systems. CNO (N411) is the central U.S. Navy office responsible for ensuring accomplishment of the required reporting and investigation and the point of contact between DDESB and U.S. Navy activities.

6. Dissemination of Information. Each Navy and Marine Corps command receiving an Explosive Mishap or Conventional Ordnance Deficiency Report from a Class B and C severity mishap may release the data to appropriate subordinate commands and personnel. Enclosure (1) discusses the restrictions on disseminating information in mishap investigation reports on Class A explosive mishaps.

7. Addressees of Message Report

a. For handling mishaps, also include appropriate additional addressees from lists headed Shipping Containers and Handling.

b. For all reports affecting research and development, make sure you include the following information addressees:

DEPT OF DEFENSE EXPLOSIVES SAFETY BD ALEXANDRIA VA
DIRAMC FSA CHARLESTOWN IN
CDRAMCCOM ROCK ISLAND IL//AMSMC-SF-P//
COMNAVSEASYS COM WASHINGTON DC//SEA-665//
DIR AEROSPACE SAFETY NORTON AFB CA//AFISC/SEV//

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- * CDRMIMC FALLS CHURCH VA
- * COMSC WASHINGTON DC//N00M/N3//

* - MISHAPS INVOLVING TOMAHAWK MISSILES ONLY

Surface Launched Rockets

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N811/N812/N511//
NAVSURFWARCENDIV INDIAN HEAD MD//044/56//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
NAVSURFWARCENDIV CRANE IN//04/20//
WPNSTA SEAL BEACH CA//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Air Launched Rockets

TO AIG FOUR TWO THREE
AIG SEVEN SIX TWO ZERO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
NAVSURFWARCENDIV INDIAN HEAD MD//044/570//
NAVAIRWARCENWPNDIV CHINA LAKE CA//03/06/15/2405//
WPNSTA SEAL BEACH CA//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Surface Launched Missiles

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N811/N812/N813//
NAVSURFWARCENDIV INDIAN HEAD MD//044/620//
NAVSURFWARCENDIV CRANE IN//04/20//

Surface Launched Missiles (continued)

WPNSTA YORKTOWN VA//04/20/35//
WPNSTA SEAL BEACH CA//04/20//
WPNSTA CONCORD CA//04/20/30//
NWACC CORONA CA//343//
NAVSURFWARCENDIV PORT HUENEME CA//0009/4R//
PEOCMPANDUAV WASHINGTON DC//CE2/C4/PMA280//
Chain of Command

* - MISHAPS INVOLVING TOMAHAWK MISSILES ONLY

Air Launched Missiles

TO AIG FOUR TWO THREE
AIG SEVEN SIX TWO ZERO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
NAVSURFWARCENDIV INDIAN HEAD MD//044/580//
NAVAIRWARCENWPNDIV CHINA LAKE CA//03/06/15/2405//
WPNSTA SEAL BEACH CA//04/20//
* PEOCMPANDUAV WASHINGTON DC//CE2/C4/PMA280//
NWACC CORONA CA//3213//
Receiving WPNSTA (Turn-in items only)
Chain of Command

* - MISHAPS INVOLVING TOMAHAWK MISSILES ONLY

Shipping Containers and Handling for NAVAIR Cognizance Items

TO AIG SEVEN SIX TWO ZERO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N814/N42/N821//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
NWACC CORONA CA//343//
NAVAIRWARCENACDIV LAKEHURST NJ//171TP//
WPNSTA EARLE COLTS NECK NJ//04/20/23//
Chain of Command

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Gun Ammunition 3-Inch 50 Cal. and Larger

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N814//
NAVSURFWARCENDIV INDIAN HEAD MD//044/610//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
WPNSTA YORKTOWN VA//04/20/35//
WPNSTA SEAL BEACH CA//04/20//
WPNSTA CONCORD CA//04/20/30//
NAVSURFWARCENDIV CRANE IN//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Gun Ammunition Smaller than 3-Inch 50 Cal.

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42//N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N814//
NAVSURFWARCENDIV INDIAN HEAD MD//044/610//
NAVSURFWARCEN ORDSTA LOUISVILLE KY//04/50//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
NAVAIRWARCENWPNDIV CHINA LAKE CA//03/06/15/2405//
WPNSTA YORKTOWN VA//04/20/35//
WPNSTA SEAL BEACH CA//04/20//
WPNSTA CONCORD CA//04/20/30//
NAVSURFWARCENDIV CRANE IN//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Free Fall Weapons Excluding Mines and Depth Charges

TO AIG SEVEN SIX TWO ZERO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N42/N814/N821//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
NAVAIRWARCENWPNDIV CHINA LAKE CA//03/06/15/2405//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

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Small Arms and Landing Force Ammunition

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N814//
NAVSURFWARCENDIV INDIAN HEAD MD//044/610//
NAVSURFWARCEN ORNSTA LOUISVILLE KY//04/50//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
NAVSURFWARCENDIV CRANE IN//04/20//
WPNSTA SEAL BEACH CA//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Torpedoes, Sonobuoys, and ASROC

TO AIG FOUR ZERO TWO
AIG FOUR TWO THREE
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/92/93//
COMSUBLANT NORFOLK VA//N2/N42/N543//
COMSUBPAC PEARL HARBOR HI//N2/N4//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N811/N511//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
WPNSTA YORKTOWN VA//04/20/35//
WPNSTA SEAL BEACH CA//04/20//
NAVUNSEAWARCENDIV KEYPORT WA//04/20/30/65//
NAVUNSEAWARCENDIV NEWPORT RI//024/81//
NAVSURFWARCENDIV PORT HUENEME CA//009/4R//
Chain of Command

Demolition Material and Bulk Explosives
and Use of EOD Services

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N83/N831//
NAVSURFWARCENDIV INDIAN HEAD MD//044/630//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
NAVSURFWARCENDIV CRANE IN//04/20//
WPNSTA YORKTOWN VA//04/20/35//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

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Pyrotechnics and Chemicals

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMSUBLANT NORFOLK VA//N2/N42/N543//
COMSUBPAC PEARL HARBOR HI//N2/N4//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N42/N814/N821//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
WPNSTA SEAL BEACH CA//04/20//
NAVSURFWARCENDIV CRANE IN//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

Mines and Projector Charges

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMSUBLANT NORFOLK VA//N2/N42/N543//
COMSUBPAC PEARL HARBOR HI//N2/N4/N431//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N42/N83/N814/N53//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
NAVSURFWARCEN WHITE OAK DET SILVER SPRING MD//U32//
WPNSTA SEAL BEACH CA//04/20//
WPNSTA YORKTOWN VA//04/20/35//
NAVAIRWARCENWPNDIV CHINA LAKE CA//03/06/15/2405//
NAVSURFWARCENDIV CRANE IN//04/20/PM416//
COMINELWARCOM CORPUS CHRISTI TX//N3//
Chain of Command

Cartridges and Cartridge Activated Devices

TO AIG SEVEN SIX TWO ZERO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N42/N814//
NAVSURFWARCENDIV INDIAN HEAD MD//044/530//
NAVSURFWARCENDIV CRANE IN//04/20/PM416//
WPNSTA SEAL BEACH CA//04/20//
CDRAMCCOM ROCK ISLAND IL//AMSMC-QAS//
Chain of Command

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Shipping Containers and Handling for NAVSEA Cognizance Items

TO AIG FOUR ZERO TWO
CFA (Cognizant Field Activity)
INFO COMNAVAIRLANT NORFOLK VA//N85/N02//
COMNAVAIRPAC SAN DIEGO CA//90/91/93//
COMNAVSURFLANT NORFOLK VA//N02L/N42/N45/N6/N82//
COMNAVSURFPAC SAN DIEGO CA//N443/N812/N814//
NAVSURFWARCENDIV INDIAN HEAD MD//044//
WPNSTA EARLE COLTS NECK NJ//4/20/23//
WPNSTA SEAL BEACH CA//04/20//
NAVSURFWARCENDIV CRANE IN//04/20/PM416//
NWACC CORONA CA//343//
Chain of Command

8. Address Indicating Group (AIG) CompositionAIG FOUR ZERO TWO

TO COMNAVSEASYS COM WASHINGTON DC
SPCC MECHANICSBURG PA
INFO CMC WASHINGTON DC
CNO WASHINGTON DC
COMNAVSAFECEN NORFOLK VA
NAVSURFWARCENDIV DAHLGREN VA
NAVSEACENLANT PORTSMOUTH VA
NAVSEACENPAC SAN DIEGO CA
NAVSEACENLANT DET NORFOLK VA
COMNAVAIRWARCENWPNDIV PT MUGU CA//2004//
NAVEDFLTILAU INDIAN HEAD MD
CG FMFLANT//ALD-D//
CG FMFPAC//ALD-D//
CG FOURTH MAW//ALD-B//
NAVAVSCOLSCOM PENSACOLA FL//155//

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AIG FOUR TWO THREE

TO COMNAVAIRSYSCOM WASHINGTON DC
INFO COMNAVSAFECEN NORFOLK VA
ASO PHILADELPHIA PA
COMNAVAILANT NORFOLK VA
COMNAVIRPAC SAN DIEGO CA
CNATRA CORPUS CHRISTI TX
CG FMFLANT
CG FMFPAC
NAVAIRWARCENACDIV LAKEHURST NJ
COMNAVRESFOR NEW ORLEANS LA
NAVAVNDEPOTOPSCEN PATUXENT RIVER MD
COMNAVIRWARCENACDIV PATUXENT RIVER MD

AIG SEVEN SIX TWO ZERO

TO COMNAVAIRSYSCOM WASHINGTON DC
SPCC MECHANICSBURG PA
INFO CNO WASHINGTON DC
CMC WASHINGTON DC
COMNAVSEASYSYSCOM WASHINGTON DC
COMNAVSAFECEN NORFOLK VA
NAVSURFWARCENACDIV DAHLGREN VA
NAVAVNDEPOTOPSCEN PATUXENT RIVER MD
NAVSEACENLANT PORTSMOUTH VA
NAVSEACENLANT DET NORFOLK VA
NAVSEACENPAC SAN DIEGO CA
COMNAVIRWARCENWPNDIV PT MUGU CA//2004//
NAVEODFLTILAU INDIAN HEAD MD
CG FMFLANT//ALD-D//
CG FMFPAC//ALD-D//
CG FOURTH MAW//ALD-B//
NAVAVSCOLSCOM PENSACOLA FL//155//

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SAMPLE MESSAGE
EXPLOSIVE MISHAP OR CONVENTIONAL ORDNANCE
DEFICIENCY (REPORT)
(REPORT SYMBOL DD-FM&P(AR) 1020 (5102)
(For Class B, C, and less severe reportable mishaps)

1. General. Use format and content below for explosive mishap and conventional ordnance deficiency reports. Submit as much information as is available. Submit supplementary reports as necessary to supply the missing information when available. OMIT ITEMS THAT DO NOT APPLY OR ARE NOT RELEVANT TO THE REPORT. Avoid using "unknown" unless you give the reason for not having the information.

2. Content and Format.

(Precedence - normally ROUTINE)

FM REPORTING ACTIVITY

TO AIG----- (see end of this enclosure)
Cognizant Field Activity

INFO (See end of this enclosure)

UNCLAS FOUO //N08020// (Normally unclassified unless classified information must be included).

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/EXPLOSIVE MISHAP REPORT OR CONVENTIONAL ORDNANCE DEFICIENCY (REPORT
/SYMBOL DD-FM&P(AR) 1020(5102) (MIN: CONSIDERED)//

REF/A/DOC/CNO/date//

REF/(If this is a follow-up message, include the DTG of all previous reports.)//

NARR/REF A IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES AS DEFINED IN OPNAVINST 5100.21B.//

POC/NAME/RANK/PRIMARY PHONE/PRIMARY FREQ/LOCATION/SECONDARY PHONE/SECONDARY FREQ//

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RMKS/PART I
ALPHA:

1. UIC OF REPORTING UNIT (Also list UIC of mishap activity if different from the reporting activity.)
2. REPORT SERIAL NO. (Locally provided sequential number by calendar year.)
3. LOCAL TIME AND DATE OF MISHAP OR DEFICIENCY
4. GEOGRAPHIC LOCATION (If classified give general area.)
5. LOCATION WHERE OCCURRED (Location on ship or activity where mishap or deficiency occurred.)
6. EVOLUTION AT TIME (For example, loading, unloading, handling, UNREP, MISSILEX, GUNEX, or routine maintenance.)
7. SHIP or AIRCRAFT STATUS (For example, underway, anchored, or normal inport workday.)

BRAVO:

1. EQUIPMENT DAMAGED OR DESTROYED (Repeat following items for all systems involved.)

A. EXPLOSIVE SYSTEMS INVOLVED (Repeat following items for all systems involved.)

(1) NAME, MK, MOD, MODEL

(2) EIC, TEC, FGC (functional group code)

(3) DODIC or NALC (Mandatory)

(4) NATIONAL STOCK NUMBER

(5) LOT NO.

(6) SERIAL NO.

(7) DESCRIBE DAMAGE

(8) IF DEFECTIVE MATERIAL SUSPECTED, STATE NUMBER OF ITEMS REMAINING
IN SAME LOT or BATCH

B. LAUNCH DEVICES (Repeat for all launch devices involved.)

- (1) NAME, MK, MOD, MODEL
- (2) EIC, TEC, FGC (functional group code)
- (3) NATIONAL STOCK NUMBER
- (4) LOCATION (For example, mount or station.)
- (5) DESCRIBE DAMAGE

C. ASSOCIATED HARDWARE (For example, work stands, test sets, fuze setters or fire control director. Repeat for all associated hardware.)

- (1) NAME, MK, MOD, MODEL
- (2) EIC, TEC, FGC (functional group code)
- (3) NATIONAL STOCK NUMBER
- (4) DESCRIBE DAMAGE

D. BULK or BATCH EXPLOSIVE MATERIAL INVOLVED (Normally applies to quantities of materials not specifically identifiable by weapon system.)

- (1) NAME OF EXPLOSIVES
- (2) WEIGHT OF EXPLOSIVES

E. ALL OTHER DEPARTMENT OF DEFENSE PROPERTY

F. NON-DOD PROPERTY

2. ESTIMATED COST TO REPLACE or REPAIR (Provide a total cost to replace all hardware including \$16 for each hour of labor. Do not list total cost of item unless it cannot be repaired.)

- A. EXPLOSIVE SYSTEM
- B. LAUNCH DEVICE
- C. ASSOCIATED HARDWARE
- D. ALL OTHER DEPARTMENT OF DEFENSE PROPERTY

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E. NON-DOD PROPERTY

F. TOTAL DOLLAR LOSS (Mandatory - Include in supplementary message if all dollar values not initially available.)

CHARLIE:

1. EXTENT OF INJURIES OR OCCUPATIONAL ILLNESS (Specify if permanent partial disability or no disability likely. If the mishap involves more than one person, be specific in Paragraph CHARLIE about which person is being described. Repeat items 1 through 8 for each person.)

2. NAME/SSN/AGE/SEX

3. RANK and DESIGNATOR or RATE and NEC, GRADE, JOB TITLE AND EMPLOYMENT STATUS (Examples of employment status include USN, USNR, USNR-R, other Department of Defense personnel, Navy federal civil servants, contractors, foreign military exchange personnel, and foreign civilians.)

4. DUTY STATUS (On- or off-duty) and UIC (if different from reporting activity). (If the mishap involves injuries to people from different commands, specify the UIC of each individual.)

5. SPECIFIC JOB OR ACTIVITY INDIVIDUAL ENGAGED IN AT TIME OF MISHAP (For example, conducting planned maintenance (PMS), standing watch, handling ammunition, training, and weapons maintenance.)

6. NUMBER OF MONTHS EXPERIENCE AT THE JOB OR ACTIVITY (This information is to determine the experience the injured person possessed for the job or activity.)

7. MEDICAL DIAGNOSIS (Include part of body and type of injury.)

8. ESTIMATE OF LOST TIME

A. TOTAL LOST WORKDAYS AWAY FROM JOB (Actual number of days, including workdays hospitalized.)

B. DAYS ACTUALLY HOSPITALIZED (Actual number of days hospitalized, including weekends.)

C. DAYS OF LIGHT OR LIMITED DUTY

DELTA: TYPE OF MISHAP

1. DETONATION

2. INADVERTENT LAUNCH

Enclosure (7)

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3. MALFUNCTION
4. OBSERVED DEFECT
5. CHEMICAL AGENT RELEASE
6. OTHER

ECHO: NARRATIVE (The chain of events leading up to, through, and subsequent to the mishap or deficiency. State if mishap or deficiency was "induced" (caused by the reporting activity), or "discovered" (not caused by the reporting activity but revealed during inspection or test). Include as much information as possible to provide a clear understanding of exactly what happened or might have happened including suspected or known causes. List secondary cause, if applicable.

FOXTROT:

1. CAUSE OF MISHAP or DEFICIENCY (State appropriate type; for example, material failure, improper design, environment, human error, or supervisory error. If material or design, describe how equipment failed. If environment, state if not stored properly, corroded, etc. If human error, supervisory error, or improper procedure, complete items 2 through 4 below.)
2. WHAT DID THE PERSON OR PERSONS FAIL TO DO? (For example, correctly operate controls; accomplish planned or corrective maintenance properly; recognize hazardous situations; use proper caution for known risk; use protective clothing or equipment; use proper tool or equipment; plan adequately, supervise progress of work; or other.)
3. WHY DID THE PERSON OR PERSONS FAIL TO CARRY OUT ACTION OF PARAGRAPH FOXTROT TWO? (For example, lack of concern or interest; inadequate supervision, distracted or inattentive; haste, overconfidence; emotionally aroused; inadequate knowledge; insufficient experience; fatigue; alcohol; drugs; illness; misunderstanding; design; or other).
4. WHO CAUSED THE MISHAP?
 - A. SUPERVISOR, OPERATOR, MAINTENANCE WORKER, OFF-DUTY MILITARY, OTHER, or UNKNOWN
 - B. RANK and DESIGNATOR, RATE and NEC, or GRADE and JOB TITLE
 - C. WAS A SUPERVISOR OR SAFETY OBSERVER PRESENT?

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D. QUALIFICATION or CERTIFICATION HELD (Enter Yes, No, or Not Required.)
Indicate if each person involved in the mishap as a cause factor holds a current qualification or certification based on OPNAVINST 8023.2C or MCO 8023.2A (NOTAL).

GOLF: RECOMMENDATIONS and LESSONS LEARNED: Based on the above causes for the mishap or deficiency, give a recommendation on how to avoid future mishaps or deficiencies of the same, or a related, type. If several factors are involved, be sure to list them. Paragraph GOLF is, perhaps, the most important part of the report. If good recommendations are implemented, future mishaps can be prevented. If caused by a material or design defect, suggest changes needed for safer equipment. If caused by personnel or supervisory error, suggest changes in standard operating procedures, if appropriate.

HOTEL:

1. TECHNICAL INVESTIGATION (NOT) REQUESTED (Mandatory)
2. ITEM or FRAGMENTS (NOT) AVAILABLE
3. PHOTOGRAPHS (NOT) AVAILABLE
4. SUPPLEMENTARY MSG WILL (NOT) BE SUBMITTED: If the cause, lessons learned, recommendations, or dollar loss of equipment damages are not determined before the initial reporting time requirements, include them and other missing information in a supplementary message.

PART II (Complete only if surface-launched guided missiles are involved)

ALPHA:

In case of misfire or duds, if ready-to-fire light was not illuminated, determine, if possible, which of the following interlocks were not present:

1. LAUNCHER SYSTEM BLAST DOOR CLOSED
2. LAUNCHER SYNC
3. FIRING RAIL LOADED
4. MLC EXTENDED
5. LAUNCHER POINT TO SAFE FIRING ZONE

BRAVO: INTENDED OFF-LOAD DATE OF ITEMS INVOLVED AND ACTIVITY, IF KNOWN//

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DIVING MISHAP
and HYPERBARIC TREATMENT (DV)
REPORTING PROCEDURES

In the interest of mishap prevention, the Navy needs to investigate all diving mishaps. Afloat, Class A diving mishaps involving divers assigned to a ship and diving from the ship or ship's boat require convening a mishap investigation board, investigating the mishap, and submitting an MIR. In certain instances, where vital safety information may be obtained, the type commander may direct a mishap investigation board for a Class B or other diving mishap or near mishap. Other reportable diving mishaps do not require a mishap investigation board. However, they may require the submission of a Diving Mishap/Hyperbaric Treatment/Death Report (DV) in the format provided in this enclosure.

The following diving mishaps require the submission of a Diving Mishap/Hyperbaric Treatment/Death Report (DV) for mishaps involving Navy-trained divers assigned to afloat units performing an on-duty working dive resulting in one or more of the following:

a. Any Class A diving mishap involving the ship's divers when diving from a shore command.

b. Any Class B and reportable Class C diving mishap involving the ship's divers when diving from the ship, ship's boat, or when diving from a shore command.

c. Hyperbaric treatment or recompression therapy conducted as a result of a diving mishap in the ship's recompression chamber. Humanitarian civilian treatments are not reportable.

d. Any diving injury or illness preventing a ship's diver from performing regularly established duty or work for 5 days or more when diving from the ship, ship's boat, or when diving from a shore command.

e. Diving mishaps resulting in a reportable injury to Navy divers making a recreational dive and diving mishap not involving Navy divers require the submission of a report according to the provisions in enclosure (10).

The DV is a General Use Mishap Investigation Report, and shall not include privileged information. The DV shall not state the source of any information.

If mishap investigators determine there is a need to obtain privileged information that may reveal valuable safety information in an afloat diving mishap, they shall advise the commanding officer who shall then ascertain the need for a mishap investigation board and inform the ISIC.

Enclosure (8)

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1. Reportable Diving Mishap/Occupational Illness

a. Basic

(1) Class A diving mishaps. Reports of diving mishaps from afloat units resulting in a death, permanent total disability, or damage more than \$1,000,000 (Class A mishap) are Limited Use Mishap Reports, defined by reference (i), submitted by the mishap investigation board using the procedures in enclosures (3) and (4) and the mishap investigation report format in enclosure (5).

(a) Modify the mishap investigation report (MIR) to include the information required by the sample report in this enclosure. Mishap investigation reports of Class A diving mishaps are used for safety purposes only and contain privileged information. The release, distribution, and control of the reports is limited to prevent unauthorized disclosure of report contents.

(b) An autopsy is required for diving deaths. Advise the servicing medical facility that the death was diving related. Include a copy of the autopsy in the mishap investigation report and forward autopsy results to:

Chairman of Forensic Sciences
Armed Forces Institute of Pathology
6825 16th St., NW
Washington, DC 20306-6000

(c) Impound, seal, and send all diving equipment involved in diving mishaps resulting in a fatality or permanent total disability to:

Commanding Officer
Naval Experimental Diving Unit
321 Bullfinch Road
Panama City, FL 32407-7015
Attn: Code 07 (Test and Evaluation)

(2) Off-duty and recreational diving mishaps. For off-duty and recreational diving mishaps (including recreational dives involving Navy divers), use enclosure (10).

(3) Class B and C mishaps and hyperbaric treatment. Use this enclosure for Class B and C mishaps and reportable hyperbaric treatment involving Navy-trained divers performing a working dive resulting in one or more of the following:

(a) Any Class B or reportable Class C diving mishap.

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(b) Any hyperbaric treatment or recompression therapy conducted as a result of a Navy diving mishap. Humanitarian civilian treatments are not reportable.

(c) Any diving injury or illness preventing a military person from performing regularly established duty or work for 5 days or more. For civilian divers, report diving injury or illness preventing the employee from working for five full shifts or more. Begin counting the 5 days or five full shifts at 2400 on the day of injury or illness.

b. Defective Equipment. Investigate and report instances of defective or malfunctioning equipment according to Appendix B, Vol. I of the U.S. Navy Diving Manual.

c. Aviation Bends. Report aviation bends cases according to reference (m).

d. USMC/USMCR Personnel. These reports are in addition to any others required by Marine Corps regulations.

2. REPORTING PROCEDURES

a. Responsibility. The immediate superior in command (ISIC), commanding officer, or officer in charge shall ensure all diving mishaps are investigated and reported. Appendix B, Volume I, of the U.S. NAVY DIVING MANUAL, outlines investigation requirements.

b. Preliminary Reports. A preliminary, priority message report must be made to COMNAVSAFECEN NORFOLK VA//30/054// within 24 hours of a parent command's notification for any Class A diving mishap not previously reported by OPREP-3 or UNIT SITREP.

c. Submission of Reports

(1) Report all Class A diving mishaps by submitting a mishap investigation report by the mishap investigation board using the procedures in enclosures (3) and (4) and the mishap investigation report format in enclosure (5).

(2) Report all Class B and C diving mishaps or hyperbaric treatment by message or letter.

(3) Use the format in this enclosure to report Class B and C diving mishaps. Submit reports within 10 days of the mishap. Do not submit DD 2544, Diving Log, for any diving mishap reported according to this enclosure. Keep reports unclassified if possible. Include classified information only when it is essential to determine the cause.

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(4) When the mishap occurs away from the diver's parent command, the treating facility will submit the diving mishap report. They must notify the parent command as soon as possible. Ultimate responsibility for reporting the mishap lies with the diver's parent command.

(5) Report uneventful dives on DD 2544, Diving Log.

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SAMPLE MESSAGE FORMAT
DIVING MISHAP and HYPERBARIC TREATMENT
 REPORT SYMBOL OPNAV 5102-5

(For Class B and C reportable mishaps and hyperbaric treatment.)

1. General

Use this format to report Class B or C diving mishaps involving damage, hyperbaric treatment, and lost-time cases. Submit as much of the information as available in the initial report. Submit supplementary reports to supply missing information. Where the requested data are not applicable or are not relevant to the analysis of the mishap, insert "Not Applicable" or "N/A." Avoid using "unknown" unless you give the reason for not having the information.

2. Content and Format

(Precedence - normally ROUTINE.)

FM REPORTING ACTIVITY

TO COMNAVSAFECEN NORFOLK VA//30/40/50/70/054//

INFO COMNAVSEASYS COM WASHINGTON DC//00C//

NAVXDIVINGU PANAMA CITY FL//01//

NAVMEDRSCHINSTITUTE BETHESDA MD//DETFA//

BUMED WASHINGTON DC//21//

(Others as desired, directed, or requested, by higher authority)

UNCLAS FOUO //N05102// (Or appropriate classification as necessary)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH

SUBJ/DIVING MISHAP REPORT (REPORT SYMBOL 5102-5)//

REF/A/DOC/CNO/23OCT87//

REF/B/DOC/CNO/date//

REF/C/(If this is a follow-up message, include the DTGs of all previous reports.)

NARR/REF A IS OPNAVINST 3150.27, NAVY DIVING PROGRAM. REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE SAFETY MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES PER OPNAVINST 5100.21B.//

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POC/name/rank/primary phone/-/location/secondary phone//

RMKS/1. PER REFS A AND B, THE FOLLOWING INFORMATION IS SUBMITTED:

A. ALFA:

(1) UIC OF REPORTING ACTIVITY

(2) TYPE OF MISHAP (For example, hyperbaric treatment, 5 days or more lost work time.)

(3) LOCAL DATE AND TIME OF MISHAP

(4) UIC OF DIVER'S PARENT ACTIVITY

(5) EVOLUTION AT TIME OF MISHAP (Brief scenario of diving operation).
If mishap occurred during formal Navy training, include the course identification number (CIN).)

B. BRAVO:

(1) DIVING SYSTEM USED (Include type of diving system employed and description of equipment malfunction, if applicable.)

(2) BREATHING GAS PERCENTAGE (For example: 79% N2/21% O2, 100% O2, and 87% HE/13% O2.)

(3) LOCAL TIME LEFT SURFACE (Use 24 hour clock. For example, 0630 and 1800.)

(4) MAXIMUM DEPTH OF DIVE IN FEET, SALT WATER (FSW)

(5) BOTTOM TIME AND SCHEDULE. IF REPETITIVE DIVE, LIST DEPTHS, BOTTOM TIMES, SURFACE INTERVALS AND SCHEDULES OF ALL DIVES.

(6) LOCAL TIME REACHED SURFACE (Use 24 hour clock. For example, 0800, 0930, and 1500.)

(7) AIR TEMP/WATER TEMP/PURPOSE OF DIVE/DIVE PLATFORM

(8) SATURATION DIVE DATA: COMPRESSION RATES TO DEPTHS AS FEET PER MINUTE (FPM) TO FSW (For example, for a 700 FSW dive: 30 FPM TO 100 FSW/20 FPM TO 250 FSW/3 FPM TO 700 FSW)

(A) STORAGE ATMOSPHERE IN FSW

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(B) CHAMBER ATMOSPHERE IN OXYGEN PARTIAL PRESSURE (MINIMUM AND MAXIMUM)

(C) MINIMUM EXCURSION DEPTH ATTAINED (IN FSW)

(D) MAXIMUM EXCURSION DEPTH ATTAINED (IN FSW)

C. CHARLIE: REPORTABLE INJURIES

(1) NAME/SSN/NOBC OR NEC/AGE/SEX/HEIGHT/WEIGHT

(2) RANK or RATE/DESIGNATOR/PAY GRADE/SERVICE and UIC (Include UIC if different from reporting activity)

(3) ONSET OF SYMPTOMS (month/day/local time/depth) Use two digits for month and day, four digits for time (24 hour clock), and four digits for depth. (For example, 03/10/1525/0025.)

(4) TYPE OF SYMPTOMS (For example, gas embolism, DCS Type I, or Type II)

(5) RECOMPRESSION STARTED (month/day/local time) Use two digits for month and day and four digits for time (24 hour clock). (For example, 03/10/1525.)

(6) FIRST RELIEF (month/day/local time/depth) Use two digits for month and day, four digits for time (24 hour clock), and four digits for depth. (For example, 03/10/1525/0025.)

(7) REACHED MAXIMUM TREATMENT DEPTH (month/day/local time/depth) Use two digits for month and day, four digits for time (24 hour clock), and four digits for depth. (For example, 03/10/1525/0025.)

(8) TIME OF COMPLETE RELIEF (month/day/local time/depth) Use two digits for month and day, four digits for time (24 hour clock), and four digits for depth. (For example, 03/10/1525/0025.)

(9) TIME LEFT MAX TREATMENT DEPTH (month/day/local time) Use two digits for month and day and four digits for time (24 hour clock). (For example, 03/10/1525.)

(10) COMPLETION OF TREATMENT (month/day/local time) Use two digits for month and day and four digits for time (24 hour clock). (For example, 03/10/1525.)

(11) RECURRENCE NUMBER (For example, 0 indicates no recurrence and 1 indicates first recurrence.)

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(12) TREATMENT TABLE USED (For recurrences, state all tables used.)

(13) DIAGNOSIS

(14) DRUGS USED IN TREATMENT

(15) OXYGEN PARTIAL PRESSURE USED IN TREATMENT IN TENTHS OF ATMOSPHERES
(numerically in two digits)

(16) TREATMENT OUTCOME (For example, complete relief, substantial relief, and no relief.)

(17) TREATED BY (For example, MDV, DMO, or DMT)

(18) TOTAL NUMBER OF DAYS AWAY FROM WORK (estimated)

(19) TOTAL NUMBER OF DAYS RESTRICTED FROM DIVING

D. DELTA: CAUSE OF MISHAP (For example, personnel error, unsafe condition, improper procedure, material failure, improper design, environment, unknown, or combination of the above.)

E. ECHO: NARRATIVE (Chain of events leading up to, through and subsequent to mishap. Explain how each cause in paragraph DELTA contributed to the mishap. Be specific. Give recommendations and lessons learned. Indicate if JAG Manual investigation is, or will be, initiated).//

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MOTOR VEHICLE (MV) MISHAP REPORTING PROCEDURES

In the interest of mishap prevention, the Navy needs to investigate all motor vehicle mishaps. Motor vehicle mishaps do not require a mishap investigation board. However, they may require the submission of a Motor Vehicle (MV) mishap report in the format provided in this enclosure.

The following mishaps require the submission of an MV:

- a. Government motor vehicle mishaps involving the ship's assigned on- or off-duty personnel resulting in at least \$2,000 property damage or a fatality or lost time reportable Class A, B, or C severity injury.
- b. Private motor vehicle mishaps involving the ship's assigned personnel resulting in at least \$2,000 government property damage or a fatality or lost time reportable Class A, B, or C severity injury to on- and off-duty assigned military and on-duty civilian personnel.

1. DEFINITIONS

a. Government Motor Vehicle (GMV). A GMV is a motor vehicle owned, leased, or rented by the U.S. Navy (not individuals), and designed primarily for highway use to transport cargo or personnel. Under this definition, government-owned mopeds and all-terrain vehicles (ATVs) are motor vehicles. A trailer towed by a motor vehicle is a part of the vehicle, even if it becomes detached from the vehicle. Motor vehicle equipment designed primarily for off-the-highway operation such as tracked or half-tracked vehicles, forklifts, road graders, agricultural tractors, and aircraft tugs are special purpose or combat vehicles according to their use and are reportable according to OPNAVINST 5100.23C.

b. Private Motor Vehicle (PMV). A PMV is any motor vehicle (not government owned), designed primarily for highway use to transport cargo or personnel. Under this definition, a moped is a motor vehicle. Although not designed primarily for highway use, this definition includes privately-owned ATVs and trail bikes. A trailer being towed by a motor vehicle is a part of the vehicle, even if it becomes detached from the vehicle.

2. REPORTABLE MOTOR VEHICLE MISHAPS

a. GMV Mishap. A mishap involving the operation of a GMV resulting in a collision with other vehicles, pedestrians (including joggers), bicyclists (when struck by a motor vehicle), or other objects; personal injury or property damage due to cargo shifting in a moving vehicle; personal injury in moving vehicles or by falling from moving vehicles; towing or pushing mishaps; and other injury or property damage when there is one or more of the following:

Enclosure (9)

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(1) At least \$2,000 property damage (total of all government- and privately-owned vehicles and property), or

(2) A fatality or an injury resulting in 5 or more lost workdays to military and Navy civilian personnel, or

(3) A civilian fatality while riding in, or caused by a government motor vehicle.

b. PMV Mishap. A traffic mishap, regardless of the identity of the operator, not involving a GMV but resulting in:

(1) A fatality or injury resulting in five or more lost workdays to on- and off-duty assigned military and on-duty Navy civilian personnel or

(2) \$2,000 or more Navy property damage.

(3) Collisions involving pedestrians (including joggers) or bicyclists (when struck by a motor vehicle), or collisions with other objects are included if they meet the reporting requirements of this paragraph.

(4) Naval Reserve personnel on inactive duty for training (travel) (IDTT), who are involved in a motor vehicle mishap while travelling from their home directly to the drill site, or from the drill site directly home, shall be counted as an off-duty reportable motor vehicle mishap if they meet all other reporting requirements of this enclosure.

c. Special Cases. A motor vehicle mishap causing death to any other person not otherwise defined occurring on a naval installation or as a result of military operations is reportable under this enclosure.

d. Exceptions

(1) The following mishaps, although reportable and accountable, are not motor vehicle mishaps. They are accountable under other ground categories and reported under the provisions of OPNAVINST 5100.23C or this instruction for personnel assigned to afloat units using a Mishap Report (MR).

(a) Personal injuries that occur while loading or unloading, mounting or dismounting a motor vehicle which is not moving

(b) Damage to a properly parked GMV unless it is damaged by another GMV

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(c) Damage to a GMV or an injury or death in a motor vehicle mishap resulting solely from Acts of God are not reportable unless the activity did not adequately prepare for the extreme conditions.

(d) Damage to a GMV:

1. Being handled as a commodity and not being operated under its own power

2. By objects thrown or propelled into it

3. By fire when no motor vehicle mishap occurred. Refer to OPNAVINST 11320.25B (NOTAL) for additional reporting requirements.

(2) The following mishaps need not be reported under this enclosure:

(a) Damage to a GMV as a result of vandalism, riots, civil disorders, sabotage, terrorist activities, or felonious acts (for example, arson and attempted murder)

(b) Injuries or fatalities to military or on-duty Navy civilian personnel escaping from or eluding military or civilian custody or arrest.

3. REPORTING REQUIREMENTS

a. Responsibility. The commanding officer, officer in charge, or master of a ship shall ensure an investigation is conducted according to this enclosure. When afloat personnel are involved in a reportable motor-vehicle mishap away from their duty station, the naval activity nearest the scene will notify the victims' command(s). The two commands shall determine which one conducts the investigation. However, the final responsibility for ensuring the report is submitted rests with the individuals' parent command(s). Establish contact between the ship's commanding officer, executive officer, or motor vehicle safety officer and the naval activity to ensure timely mishap investigation, reporting, and corrective actions.

b. Submission of Reports. Within 30 days, the investigating command shall release a Motor Vehicle Mishap Report in the format contained in the sample format in this enclosure by message or letter to Commander, Naval Safety Center (COMNAVSAFECEN). Reporting activities shall include their chain of command as information addressees on mishaps meeting the reporting threshold for a Class A or B mishap.

c. Preliminary Reports.

(1) A preliminary, priority message report must be made to COMNAVSAFECEN NORFOLK VA//00/40/50/30/054// within 24 hours of a parent command's notification when any of the following occurs:

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(a) Any on-duty motor vehicle mishap resulting in a fatality to one or more Navy military or Navy federal, non-appropriated fund (NAF), or foreign civilian personnel up to 6 months after the date of occurrence.

(b) Any on-duty motor vehicle mishap where five or more assigned military or Navy civilian personnel are admitted to the hospital.

(2) A preliminary, priority message report must be made to COMNAVSAFECEN NORFOLK VA//00/40/50/30/054// within 48 hours of a parent command's notification when any of the following occurs:

(a) Any off-duty motor vehicle mishap resulting in a fatality to one or more Navy military up to 6 months after the date of occurrence.

(b) Any off-duty motor vehicle mishap where five or more assigned military personnel are admitted to the hospital.

For priority reports, use the sample mishap report format contained in this enclosure to provide available information. As a minimum, report the date and time of mishap; name and social security number of injured or dead people; location of mishap; description of the mishap; and extent of damage or injury. A preliminary, priority message report is not required if the required information has already been sent to COMNAVSAFECEN in an OPREP-3 or UNIT SITREP. Submission of the priority message report does not relieve the command from submitting a complete mishap report within 30 calendar days of the mishap. Send information copies of the report to the appropriate chain of command.

d. Additional Information. If additional information becomes available, or information originally submitted changes, submit a follow-up report. Give the LOCAL TIME and DATE of the mishap and the NAME(s) of the injured or dead reported on the original Motor Vehicle Mishap Report. Then, give only the items to be added or changed. Mark the report, "Modified" and send it to the same addressees as the original report. COMNAVSAFECEN may also request additional information, when needed.

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SAMPLE MESSAGE FORMAT
MOTOR VEHICLE MISHAP REPORT
REPORT SYMBOL OPNAV 5102-4 (MV)

1. General

Use the following format and content for reporting personnel injuries and deaths and material (property) damage resulting from motor vehicle mishaps. Submit as much information as you have available in the initial report. Submit supplementary reports to supply missing information. Where requested data do not apply, are not relevant to analysis of the mishap, or are unknown, insert "NOT APPLICABLE" - "N/A" or "UNKNOWN" - "UNK," as appropriate. Avoid using "unknown" unless you give the reason for not having the information.

2. Content and Format

(Precedence - normally ROUTINE)

FM ACTIVITY SUBMITTING REPORT

TO COMNAVSAFECEN NORFOLK VA//00/40/50/30/70/054///

INFO As desired, directed, or required by higher authority

UNCLAS FOUO //N05102// (or appropriate classification as necessary)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/MOTOR VEHICLE MISHAP REPORT (REPORT SYMBOL OPNAV 5102-4)//

REF/A/DOC/CNO/01MAY91//

REF/B/DOC/CNO/date//

REF/C/ (If follow-up message, refer to all previous reports.)

NARR/REF A IS OPNAVINST 5100.12F, ISSUANCE OF NAVY TRAFFIC SAFETY PROGRAM.

REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE SAFETY MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES PER OPNAVINST 5100.21B.//

POC/name/rank/primary phone/-/location/secondary phone//

RMKS/1. PER REFS A AND B, THE FOLLOWING INFORMATION IS SUBMITTED:

A. ALFA:

(1) NAME AND UIC OF REPORTING ACTIVITY

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(2) LOCAL DATE, TIME, AND DAY OF WEEK MISHAP OCCURRED

(3) GEOGRAPHIC LOCATION (Include city and state and whether on or off Navy property. If on Navy property, give name and UIC of installation where mishap occurred).

(4) ENVIRONMENTAL CONDITIONS (For example, weather and road conditions.)

B. BRAVO: VEHICLE INVOLVEMENT. IDENTIFY ALL VEHICLES (Year, make, model, and whether government or privately owned. For motorcycles, mopeds, and all-terrain vehicles, include model and engine displacement).

C. CHARLIE: REPORTABLE OPERATOR INVOLVEMENT. Items C(1)-(6) apply only to motor vehicle operators. If parked vehicle, so state.

(1) IDENTIFY ALL OPERATORS (By name, sex, age, and marital status. State if operator is non-Department of Defense (DoD) civilian. For military and Navy civilian personnel, include duty status; social security number; officer designator; rank, rate, or civil service grade; and driver's license number and issuing state. Include the vehicle involvement (GMV/PMV) for each operator).

(2) NAME AND UIC OF DUTY STATION OF OPERATOR(s) (If not the same as the reporting activity.)

(3) For military and navy civilian operators only, give date and type of operator training completed (For example, AAA, MRC-RSS, EVOC, or no training received.)

(4) DRUG/ALCOHOL/FATIGUE INVOLVEMENT AT TIME OF MISHAP. State specific drug name and whether prescription, non-prescription, or illegal; alcohol involvement and blood alcohol content for each operator; or whether fatigued, asleep, not drinking or taking drugs, or alert.

(5) FOR THE OPERATOR(s) INCLUDE DEGREE OF INJURY: Fatality, injury or no injury. (In fatality cases, include the cause of death. For example, head injury and internal injury. In injury cases, include actual days hospitalized, actual lost workdays (other than hospital days), and days of light or limited duty. If days are unknown, estimate. State if injury will result in a permanent total disability, permanent partial disability, or non-disabling injury. Include type(s) of injury. for example, head injury, internal injury, and fractured arm or leg.)

(6) INCLUDE SAFETY DEVICES USED BY THE OPERATOR(s) (For example, safety belt, air bag deployed, motorcycle helmet, boots, and reflective vest. State if operator was totally ejected from the vehicle or motorcycle, partially ejected, or not ejected. FOR GMV OPERATORS - If a personal injury results

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from not using or the malfunctioning of a safety belt, explain why safety belts were not used, or in case of malfunction, what caused the malfunction, and what remedial actions have been taken to prevent recurrence).

D. DELTA: REPORTABLE NON-OPERATOR INJURIES. Items D(1)-(5) apply to all reportable "NON-MOTOR VEHICLE OPERATORS" (For example, passengers, pedestrians, joggers, and bicyclists when struck by a motor vehicle) injured or killed.

(1) IDENTIFY ALL NON-OPERATORS (By name, sex, age, and marital status. Also state if the individual is a civilian. For military and Navy civilian personnel give duty status; social security number; officer designator; rank, rate, or civil service grade. Include the vehicle involvement (GMV/PMV) for each person killed or injured. For passengers (vehicle or motorcycle), identify actual position in or on the vehicle. For example, right front passenger, center rear passenger, and seated behind operator (motorcycles). For pedestrians, joggers and bicyclists, identify location where struck. For example, in roadway, on shoulder, and on sidewalk.)

(2) NAME AND THE UIC OF DUTY STATION OF NON-OPERATORS KILLED OR INJURED IF DIFFERENT FROM REPORTING ACTIVITY.

(3) DRUG/ALCOHOL/FATIGUE INVOLVEMENT AT TIME OF MISHAP. State the specific drug name and whether prescription, non-prescription, or illegal; alcohol involvement and blood alcohol content for each non-operator killed or injured; or whether fatigued, asleep, not drinking or taking drugs, or alert).

(4) IF GMV MISHAP - PROVIDE THE FOLLOWING INFORMATION FOR EACH NON-OPERATOR INJURED OR KILLED; OR, IF PMV MISHAP - PROVIDE THE FOLLOWING INFORMATION FOR EACH DoD NON-OPERATOR INJURED OR KILLED:

INCLUDE DEGREE OF INJURY: Fatality or injury. (In fatality cases, include the cause of death. For example, head injury and internal injury. In injury cases, include actual days hospitalized, and actual lost workdays (other than hospital days). If days are unknown, estimate. State if injury will result in a permanent total disability, permanent partial disability, or non-disabling injury. Include type(s) of injury, for example, head injury, internal injury, and fractured arm or leg).

(5) FOR EACH PASSENGER KILLED OR INJURED, GIVE SAFETY DEVICES USED (For example, safety belt, air bag deployed, motorcycle helmet, boots, and reflective vest. State if passenger was totally ejected from the vehicle or motorcycle, partially ejected, or not ejected.) FOR EACH PEDESTRIAN, JOGGER, OR BICYCLIST KILLED OR INJURED, GIVE SAFETY DEVICES USED (For example, light or dark clothing, reflective clothing, and bicycle helmet.) FOR GMV

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PASSENGERS - If a personal injury results from not using or the malfunctioning of a safety belt, explain why safety belts were not used by the injured person, or in cases of malfunction, what caused the malfunction, and what remedial actions have been taken to prevent recurrence).

E. ECHO: PROPERTY DAMAGE

(1) INCLUDE DoD PROPERTY DAMAGE (Government motor vehicle and other DoD property. Cost to repair or replace, and DoD work-hours to repair. If costs are unknown, give estimate).

(2) INCLUDE COST OF NON-DoD PROPERTY DAMAGE WHEN CAUSED BY GMV MISHAP (private vehicles and private property)

F. FOXTROT: 72-HOUR PROFILE. For each motor vehicle mishap involving a Class A or B injury or death include a 72-hour pre-mishap profile on the injured or dead person if that individual had an influence on the mishap occurrence or outcome (not a passive victim). If the person injured or killed was a passenger, provide the 72-hour pre-mishap profile on the driver(s) if military or on-duty civilian. The 72-hour profile includes:

(1) Travel completed during the 72 hours immediately preceding the mishap. How far away from the duty station did the mishap occur (miles)? Was individual commuting (by vehicle) from duty station to home daily or on weekends more than 100 miles one-way?

(2) Type of work performed and work schedule (hours) for the 72 hours immediately preceding the mishap.

(3) Periods of rest or sleep for 72 hours immediately preceding the mishap.

(4) Medications prescribed and were they taken.

(5) Alcohol and other drugs (prescription, nonprescription, and illegal) taken during the 72 hours immediately preceding the mishap.

(6) General physical condition, including illnesses.

(7) Individual's mental, emotional, and physical state including perceived stress and behavior changes (based on supervisor, next-of-kin (if available), co-workers, and friends.

(8) Other comments the supervisory, next-of-kin, co-workers, and friends wish to make related to the individual's condition or pre-mishap activities.

(9) Other factors prior to the mishap that could have effected the mishap occurrence or its outcome.

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(10) Non-judicial punishment (NJP)/Uniform Code of Military Justice NJP/UCMJ record (military only) or any other behavior infractions for the past 3 years.

(11) Driver's experience or knowledge operating this particular type of vehicle.

G. GOLF: Provide a brief narrative of the mishap including the major cause. (Provide any additional information for clarification.

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OFF-DUTY RECREATION, ATHLETICS, AND HOME
MISHAP REPORTING PROCEDURES

In the interest of mishap prevention, the Navy needs to investigate all off-duty recreation, athletics, and home mishaps. These mishaps do not require a mishap investigation board. However, they may require the submission of a recreation, athletic, and home safety (RAHS) mishap report in the format provided in this enclosure.

All off-duty recreation, athletic, and home deaths or injuries preventing the ship's off-duty personnel from performing regularly scheduled work for 5 days or more require the submission of a RAHS mishap report.

Recreation and athletic mishaps during compulsory physical training activities, where personnel are considered on-duty (including compulsory sports and command sponsored activities during working hours), require the submission of an MR as explained in enclosure (6).

The RAHS mishap report is a General Use Mishap Investigation Report, and shall not include privileged information. The RAHS mishap report shall not state the source of any information.

1. Reportable Off-Duty Recreation, Athletic, and Home Mishaps

a. Off-Duty Mishap. An off-duty recreation, athletic and home death or injury preventing Navy military personnel assigned to afloat units from performing regularly scheduled work for 5 days or more after 2400 on the day of injury shall be investigated and reported according to this enclosure.

b. Special Case Mishap. Report all non-operational, serious injuries or deaths occurring to anyone not included in paragraph 4 of the basic instruction occurring either on or off a naval installation using Navy owned and managed property (for example Morale, Welfare and Recreation (MWR) hobby shops, athletic facilities, and child development centers). Special case mishaps are reportable only if they involve negligence in the operation or maintenance of Navy property such as missing machine guards and damaged playground equipment. A serious injury is one comparable in severity to an injury or illness that would result in 5 or more lost work days.

2. REPORTING REQUIREMENTS

a. Responsibility. The commanding officer, officer in charge, or master shall require the investigation and reporting of all recreation, athletic, and home reportable mishaps occurring to personnel within the command. When a sailor assigned to a ship is injured or killed away from the ship, the naval activity nearest the scene will notify the victim's command. Unless relieved by the victim's command or higher authority, the naval activity nearest the scene of the mishap will investigate and report it as prescribed in this

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enclosure. However, the final responsibility for ensuring the report is submitted rests with victim's command. The Recreation, Athletics and Home Mishap Flow Chart in this enclosure can help determine reporting requirements. Establish contact between the ship's commanding officer, executive officer, or Recreation, Athletics and Home Safety (RAHS) officer and the naval activity to ensure timely mishap investigation, reporting, and corrective actions.

b. Submission of Reports. Commanding officers, officers in charge, and masters shall release Off-duty Recreation, Athletics, and Home Safety Reports in the format contained in this enclosure by message or letter to COMNAVSAFECEN within 30 calendar days of a reportable mishap. Paragraph 1 defines a reportable off-duty recreation, athletics, and home mishap. Reporting activities shall include their chain of command as information addressees on Class A and B mishaps.

c. Preliminary Message Reports. Make a preliminary, priority message report to COMNAVSAFECEN within 48 hours of notification of an off-duty mishap resulting in a fatality or the inpatient hospitalization of five or more Navy military personnel. An OPREP-3 or UNIT SITREP satisfies this requirement.

(1) For preliminary reports, use the format in this enclosure to provide available information. As a minimum, include:

- (a) Date, time, and location of the mishap
- (b) Name and location of the personnel involved
- (c) Extent of their injuries
- (d) Description of the mishap shall be furnished.

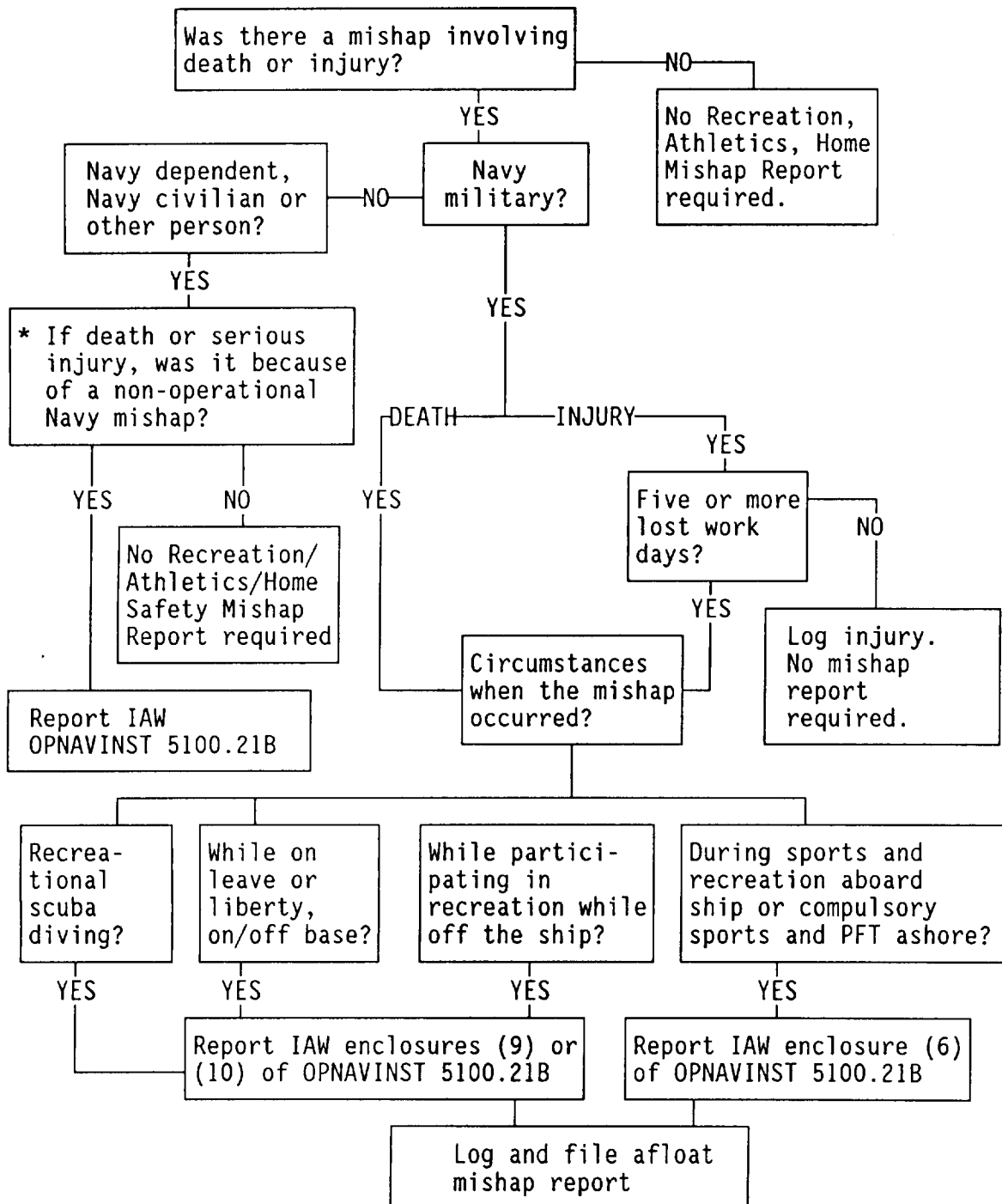
(2) Submitting a preliminary message or telephone report does not relieve the command from submitting a complete Off-Duty Recreation, Athletics, and Home Safety report according to this enclosure. Send information copies to the appropriate chain of command.

d. Additional Information. If additional information becomes available, or information originally submitted changes, submit a follow-up report. Give the LOCAL TIME and DATE of the mishap and the NAME(s) of injured or dead reported on the original Off-Duty Recreation, Athletics, and Home Safety Report. Then, give only those items to be added or changed. Mark the report, "Modified" and send it to the same addressees as the original ears. COMNAVSAFECEN may also request additional information, when needed.

3. OFF-DUTY RECREATION, ATHLETICS, AND HOME MISHAP RECORDS. Keep a file of injury reports for all off-duty recreation, athletics, and home mishaps.

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FLOW CHART FOR AFLOAT RECREATION, ATHLETICS, AND HOME MISHAPS



* Navy non-operational mishaps include Navy owned and managed pools, athletic fields, child centers, clubs and family housing.

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SAMPLE MESSAGE FORMAT
OFF-DUTY RECREATION, ATHLETICS AND HOME SAFETY REPORT
REPORT SYMBOL OPNAV 5102-10

1. General

Use the format shown below for reporting off-duty recreation, athletic and home injuries and deaths. Submit as much of the information as you have available. Submit follow-up reports to provide the missing information. OMIT ITEMS THAT DO NOT APPLY OR ARE NOT RELEVANT TO THE MISHAP. Avoid using "unknown" unless you give the reason for not having the information.

2. Content and Format

(Precedence - normally ROUTINE)

FM REPORTING ACTIVITY

TO COMNAVSAFECEN NORFOLK VA//00/30/40/50/70/054//

INFO As desired, directed, or requested by higher authority

UNCLAS FOUO //N05102// (Or appropriate classification as necessary)

MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//

SUBJ/OFF-DUTY MISHAP REPORT (REPORT SYMBOL OPNAV 5102-10)//

REF/A/DOC/OPNAV/25SEP90//

REF/B/DOC/OPNAV/date//

REF/C/(If this is a follow-up message, include the DTG of previous reports)

NARR/REF A IS OPNAVINST 5100.25A, NAVY RECREATION, ATHLETICS, AND HOME SAFETY PROGRAM. REF B IS OPNAVINST 5100.21B, AFLOAT MISHAP INVESTIGATION AND REPORTING. THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A GENERAL USE MISHAP REPORT TO BE USED ONLY FOR SAFETY PURPOSES PER OPNAVINST 5100.21B//

POC/name/rank/primary phone/-/location/secondary phone//

RMKS/1. PER REFS A AND B, THE FOLLOWING INFORMATION IS SUBMITTED:

A. ALPHA:

(1) UIC OF REPORTING ACTIVITY

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(2) LOCAL DTG OF MISHAP

(3) GEOGRAPHIC LOCATION (Include city and state and indicate if on- or off-base.)

(4) LOCATION WHERE MISHAP OCCURRED (For example, home, ball field, or lake. Indicate if MWR facility.)

B. BRAVO: REPORTABLE INJURIES

(1) NAME/SSN/AGE/SEX (If more than one person is injured, information in this section must be specific as to which individual is being described. Repeat items (1) through (8) for each individual.)

(2) UIC of injured person's command

(3) RANK and DESIGNATOR, or RATE and NEC, JOB and EMPLOYMENT STATUS (Examples of employment status include USN, USNR, USNR-R, Navy dependent, or other special case.)

(4) SPECIFIC ACTIVITY INDIVIDUAL ENGAGED IN AT TIME OF MISHAP (For example, woodworking, swimming, and engine tune-up)

(5) EXPERIENCE AT ACTIVITY

(A) NUMBER OF MONTHS EXPERIENCE

(B) QUALIFICATION/TRAINING (For a swimming mishap, include swimmer classification; for a diving mishap, include scuba diving certification, if applicable; for boating or hunting mishap, include completion of safe boating or hunting course.)

(6) MEDICAL DIAGNOSIS (Include parts of body and type of injuries.)

(7) FATALITY OR EXTENT OF INJURIES (Specify fatality, missing, permanent total disability, permanent partial disability, or no disability likely.)

(8) ESTIMATE OF LOST TIME

(A) TOTAL LOST TIME (IN DAYS) AWAY FROM WORK (Include the actual number of regular workdays, including days hospitalized.)

(B) DAYS ACTUALLY HOSPITALIZED (Actual number of days spent in the hospital, including weekends.)

(C) DAYS OF LIGHT OR LIMITED DUTY

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C. CHARLIE: CAUSE OF MISHAP

(1) Personnel error, material failure, environmental extremes, inadequate procedure/precaution.

(2) IMMEDIATE OR DIRECT CAUSE(S) OF MISHAP (For example, using defective/incorrect tools; working without safety guard; repairing equipment while energized; assuming unsafe posture; violating safe sport practices; equipment malfunction; unsafe walking or recreation surface; warnings inadequate or not posted; inadequate illumination or rough water. Cite safety standard or regulation violated, if appropriate.)

(3) IF PERSONNEL ERROR, STATE CONTRIBUTING CAUSE(S) (For example, distraction or inattention, fatigue, haste, improper attitude or motivation, inexperience, lack of skill, inadequate physical conditioning, alcohol or drugs. Indicate blood alcohol or drug content when available.)

(4) IF UNSAFE CONDITION, STATE CONTRIBUTING CAUSE(S) (For example, poor housekeeping, insufficient maintenance, defective design, overloaded boat, other - specify.)

(5) PERSONAL PROTECTIVE CLOTHING or EQUIPMENT (State if required. Specify if available, used, effective, or misused. For example, Type III personal flotation device, ANSI approved bicycle helmet, and AARA approved sports goggles.)

(6) 72-HOUR PRE-MISHAP PROFILE (Required for all Class A or B mishaps if the injured or dead off-duty military person had influence on the occurrence or outcome of the mishap (was not a passive victim).) Include the following information for that person:

(a) Leave or liberty status for the 72 hours immediately preceding the mishap.

(b) Type of work performed and work schedule (hours) for the 72 hours immediately preceding the mishap.

(c) Periods of rest and sleep for the 72 hours immediately preceding the mishap.

(d) Travel and recreational activities for the 72 hours immediately preceding the mishap.

(e) Medications prescribed and were they taken.

(f) Alcohol and other drugs (prescription, nonprescription, and illegal) taken during the 72 hours immediately preceding the mishap.

(g) General physical condition, including illnesses.

(h) Individual's mental, emotional, and physical state including perceived stress and behavior changes (based on supervisor, next-of-kin (if available), co-workers, and friends.

(i) Other comments the supervisor, next-of-kin, co-workers, and friends wish to make related to the individual's condition or pre-mishap activities.

(j) Other factors prior to the mishap that could have affected the mishap occurrence or its outcome.

(k) Non-judicial punishment (NJP)/Uniform Code of Military Justice (UCMJ) record (military only) or other behavior infraction for the past 3 years.

D. DELTA: NARRATIVE

(1) Chain of events leading up to, through, and subsequent to mishap. (Elaborate with remarks so the reader can determine the who, what, where, when and how of the mishap. Be specific. For swimming and boating mishaps, give the air and water temperature, wave height, wind speed, swimmer's qualification, and type of personal floatation device worn. For injuries associated with softball bases, state type (stationary, tie-down, or breakaway). For bicycle injuries, specify if bicycle helmet was worn or not. For basketball injuries, include type of shoes worn and if ankle tape or supports were used.)

(2) Corrective Actions/Lesson Learned or Recommendations
Specify actions taken to prevent similar mishaps from occurring in future.

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AFLOAT SAFETY PROGRAM ELEMENTS

The afloat safety program encompasses a variety of operational safety, general safety, and occupational safety and health program elements. Various directives contain safety guidance and standards. Commanding officers shall use them to establish their shipboard safety program. The following references provide detailed safety program guidance:

OPNAVINST 3120.32B - STANDARD ORGANIZATION AND REGULATIONS OF THE U.S. NAVY

OPNAVINST 3120.42A - SAFE ENGINEERING AND OPERATIONS (SEAOPS) PROGRAM FOR LANDING CRAFT, AIR CUSHION (LCAC)

OPNAVINST 3750.6Q - NAVAL AVIATION SAFETY PROGRAM

OPNAVINST 5090.1A - ENVIRONMENTAL AND NATURAL RESOURCES PROTECTION MANUAL

OPNAVINST 5100.12F - NAVY TRAFFIC SAFETY PROGRAM

OPNAVINST 5100.19B - NAVY OCCUPATIONAL SAFETY AND HEALTH (NAVOSH) PROGRAM MANUAL FOR FORCES AFLOAT

OPNAVINST 5100.21B - AFLOAT MISHAP INVESTIGATION AND REPORTING

OPNAVINST 5100.25A - NAVY RECREATION, ATHLETICS AND HOME SAFETY PROGRAM

OPNAVINST 5102.1C - MISHAP INVESTIGATION AND REPORTING

CINCLANTFLTINST/CINCPACFLTINST 4355.1B - JOINT FLEET QUALITY ASSURANCE (QA) PROGRAM MANUAL

Other publications also contain safety precautions. They include Naval Ships' Technical Manuals (NSTMs), General Specifications for Ships of the United States Navy (GENSPECS), General Specifications for Overhaul of Surface Ships (GSO), Naval Sea Systems Command instructions, Bureau of Medicine and Surgery instructions, Ordnance Publications (OPs), and Fleet and type commander directives.

The following publications also contain safety information. Many ships hold them in the ship's library.

American Practical Navigator; Bowditch, Nathaniel; H.O. Pub. No. 9;
U.S. Navy Hydrographic Office; 1982

Bluejackets' Manual; 21th ed.; Annapolis; Naval Institute Press; 1991

Boat Officer's Handbook; Annapolis; Naval Institute Press; 1981

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Dutton's Navigation and Piloting; Dutton, Benjamin; Annapolis,
Naval Institute Press; 14th ed.; 1985

Knight's Modern Seamanship; Noel, John V.; New York; Van Nostrand Reinhold;
18th ed.; 1989

SAFETY STANDARDS

The following references contain the minimum safety standards and guidance to aid in establishing and maintaining an effective shipboard safety program.

<u>SAFETY TOPIC</u>	<u>REFERENCE</u>
Aircraft (Shipboard) Safety	OPNAVINST 5100.19B, Ch. C12
Asbestos Control Program	OPNAVINST 5100.19B, Ch. B1
Athletics Safety	OPNAVINST 5100.25A
Back Injury Prevention	OPNAVINST 5100.19B, Ch. A4
Boat Safety	OPNAVINST 5100.19B, Ch. C4 OPNAVINST 3120.32B, Ch. 4 Boat Officer's Handbook
Deck Safety	OPNAVINST 5100.19B, Vol II, VOL III Bluejackets' Manual
Diving Operations	OPNAVINST 5100.19B, Ch. C22
Electrical Safety Program	OPNAVINST 5100.19B, Chs. B7, C9, and D5
Explosive Safety	OPNAVINST 5100.19B, Ch. C14
Gas Free Engineering Program	OPNAVINST 5100.19B, Ch. B8
General Safety Standards	OPNAVINST 5100.19B, Vol II, Vol III
Hazard Control and Abatement	OPNAVINST 5100.19B, Ch. A4
Hazardous Materials Control Program	OPNAVINST 5100.19B, Chs. B3, C23, and D15 OPNAVINST 5090.1A, Ch. 17
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<u>SAFETY TOPIC</u>	<u>REFERENCE</u>
Hearing Conservation Program	OPNAVINST 5100.19B, Ch. B4
Heat Stress Program	OPNAVINST 5100.19B, Ch. B2
Helicopter (Shipboard) Operations	OPNAVINST 5100.19B, Ch. C7
Home Safety	OPNAVINST 5100.25A
Inspections (safety)	OPNAVINST 5100.19B, Ch. A3
Landing Craft, Air Cushion (LCAC) Safety Program	OPNAVINST 3120.42A
Lead Control Program	OPNAVINST 5100.19B, Ch. B9
Medical Surveillance Program	OPNAVINST 5100.19B, Ch. A3
Mishap Investigation and Reporting	OPNAVINST 5100.21B OPNAVINST 5102.1C OPNAVINST 5100.19B, Ch. A6
Motor Vehicle and Motorcycle Safety	OPNAVINST 5100.12F
Navigation Safety (Bowditch)	American Practical Navigator Dutton's Navigation and Piloting
Operational Safety	OPNAVINST 5100.19B, Vol II, Vol III Knight's Modern Seamanship American Practical Navigator (Bowditch) Bluejacket's Manual OPNAVINST 3120.32B, Chs. 5, 6, & 7
Ordnance Safety	OPNAVINST 5100.19B, Ch. C14 NAVSEA OP 4, OP-3347
Personal Protective Clothing and Equipment	OPNAVINST 5100.19B, Ch. B12
Quality Assurance (QA)	CINCLANTFLTINST/ CINCPACFLTINST 4355.1B
Radiation Protection Program	OPNAVINST 5100.19B, Ch. B9
Recreation Safety	OPNAVINST 5100.25A

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<u>SAFETY TOPIC</u>	<u>REFERENCE</u>
Respiratory Protection Program	OPNAVINST 5100.19B, Ch. B6
Safety Officer Responsibilities	OPNAVINST 5100.19B, Ch. A2 OPNAVINST 3120.32B, Chs. 3 & 7
Safety Program Organization	OPNAVINST 3120.32B, Ch. 3 OPNAVINST 5100.19B, Ch. A2
Sight Conservation Program	OPNAVINST 5100.19B, Ch. B5
Submarine Safety Standards	OPNAVINST 5100.19B, Vol III
Surface Ship Safety Standards	OPNAVINST 5100.19B, Vol II
Tag-out Program	OPNAVINST 5100.19B, Chs. B11, C9, and D5 OPNAVINST 3120.32B, Ch. 6
Traffic Safety Program	OPNAVINST 5100.12F
Training (safety)	OPNAVINST 5100.19B, Ch. A7
Weapons Safety	OPNAVINST 5100.19B, Ch. C14 NAVSEA OP 4, OP-3347
Welding Safety	OPNAVINST 5100.19B, Chs. C11 & D7
Working Aloft and Over-the-Side	OPNAVINST 5100.19B, Chs. C8 & D4